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**Prakash et al.**

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(54) **AUTOMATIC CONFIGURATION OF OPERATIONAL PARAMETERS IN SMALL CELLS WITHOUT USING RADIO ENVIRONMENT MONITORING**

H04W 48/16; H04W 64/003; H04W 84/18; H04W 36/0061; H04W 8/26; H04W 88/08; H04W 16/22; H04W 16/02; H04W 84/045; H04J 11/0069

See application file for complete search history.

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Primary Examiner — Jung Liu

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*H04W 84/04* (2009.01)

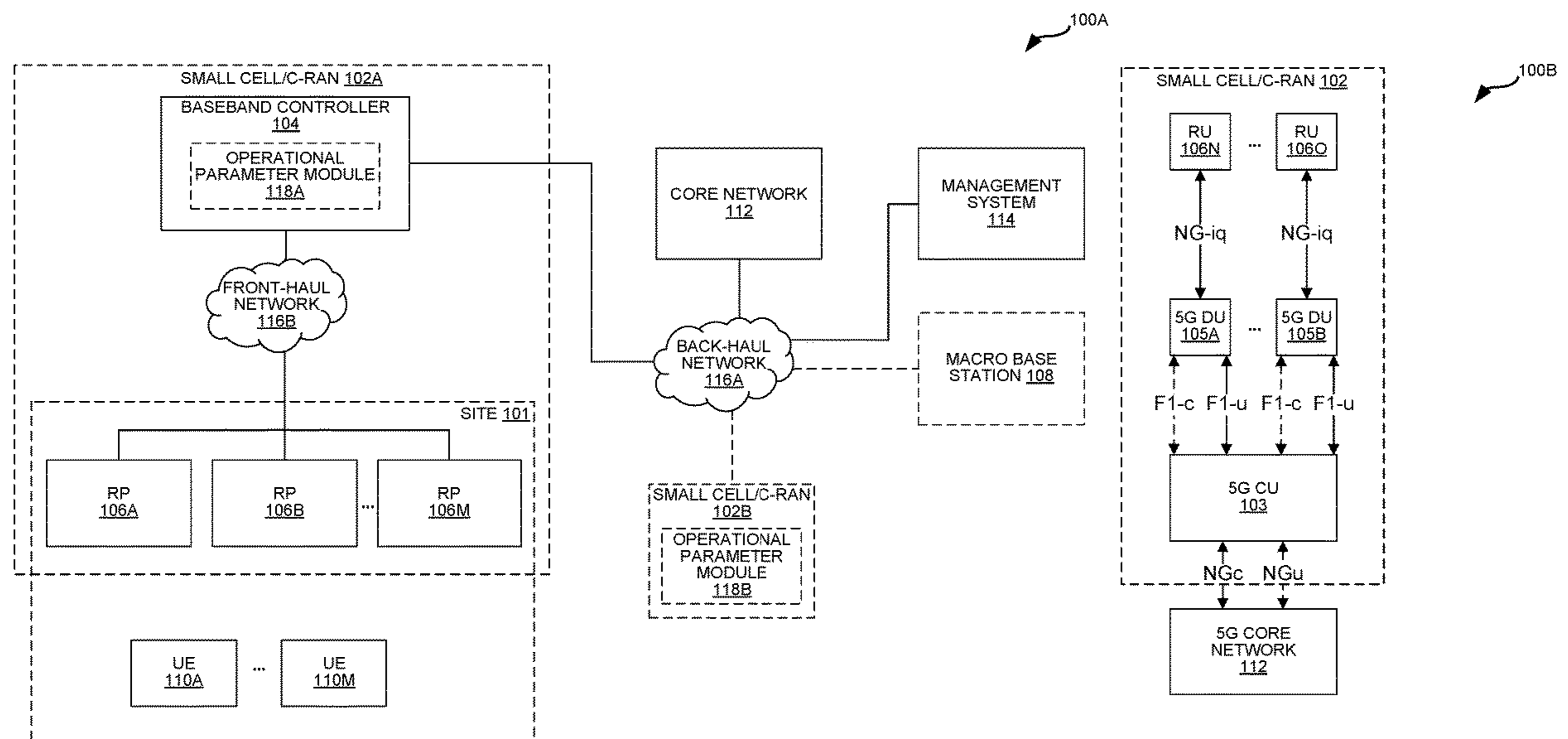
(57) **ABSTRACT**

A small cell for automatic configuration of an operational parameter includes at least one processor configured to determine a provisioned list of operational parameters. The at least one processor is also configured to sort the provisioned list into a sorted list. The at least one processor is also configured to select the operational parameter from the sorted list based on a BC ID for the small cell, a sector ID for a sector implemented by the small cell, or some combination.

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**24 Claims, 10 Drawing Sheets**



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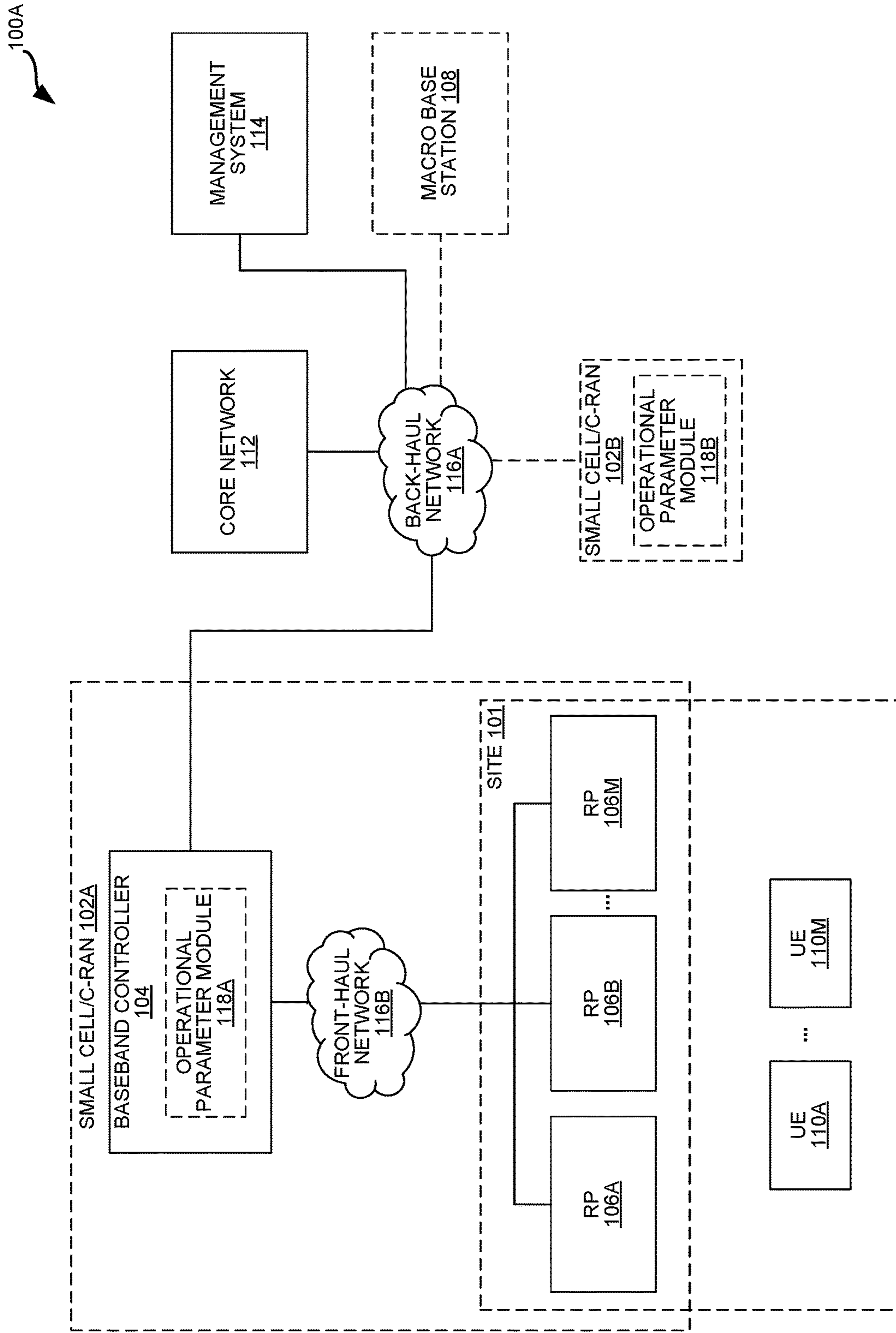


FIG. 1A

100B

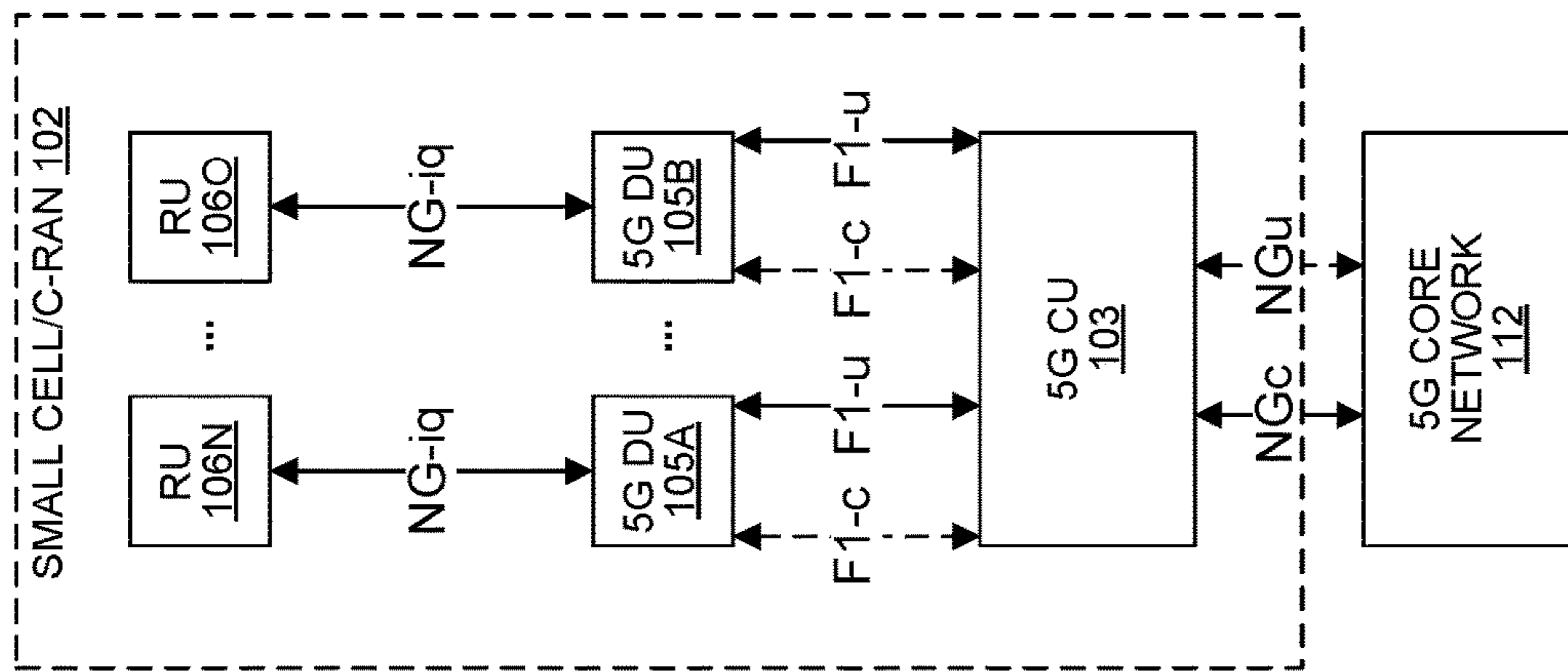


FIG. 1B

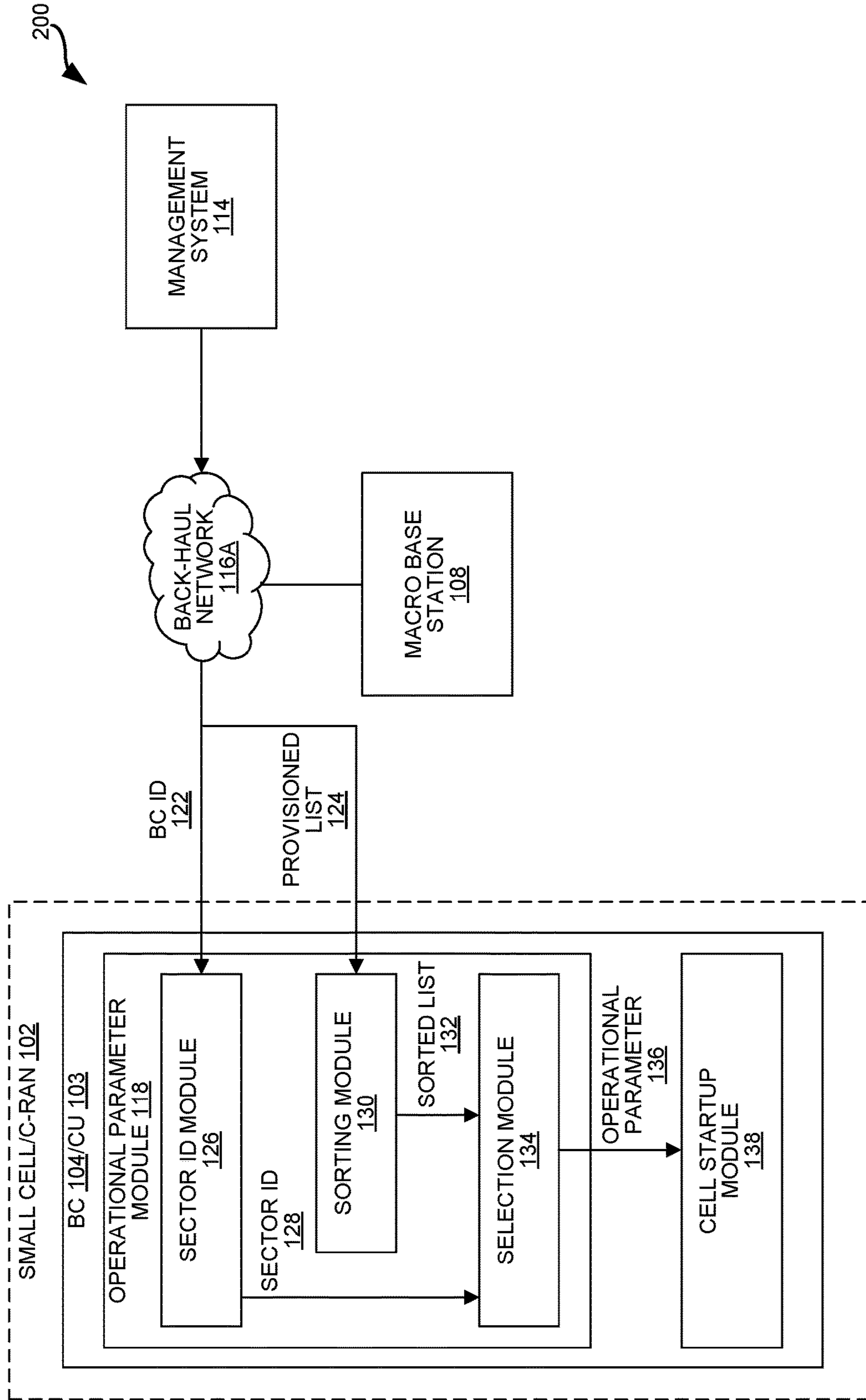


FIG. 2

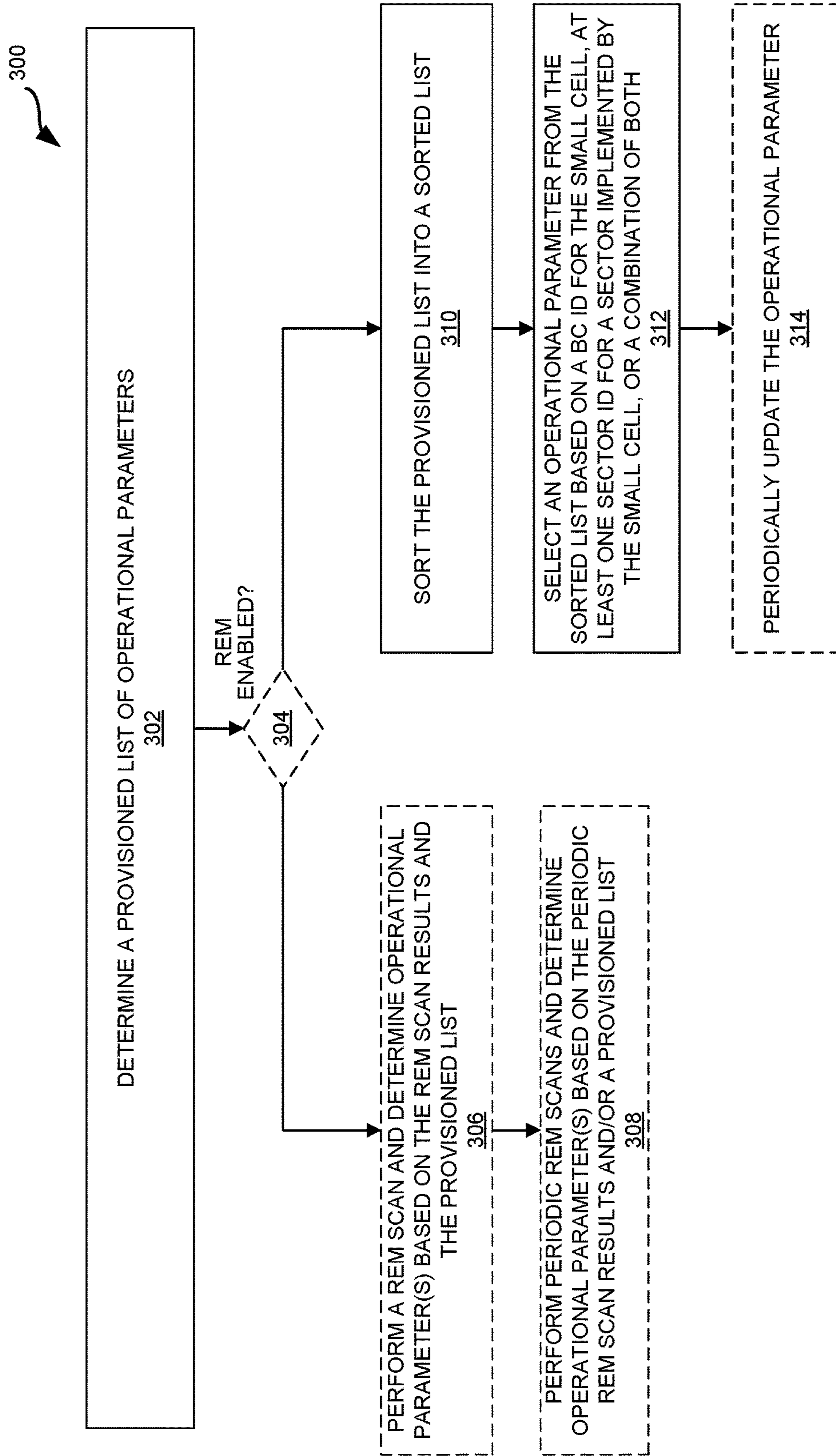
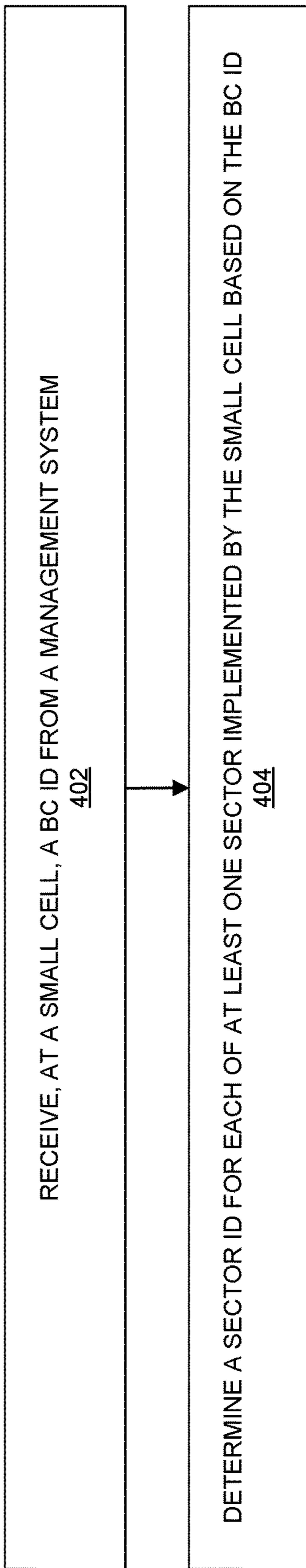


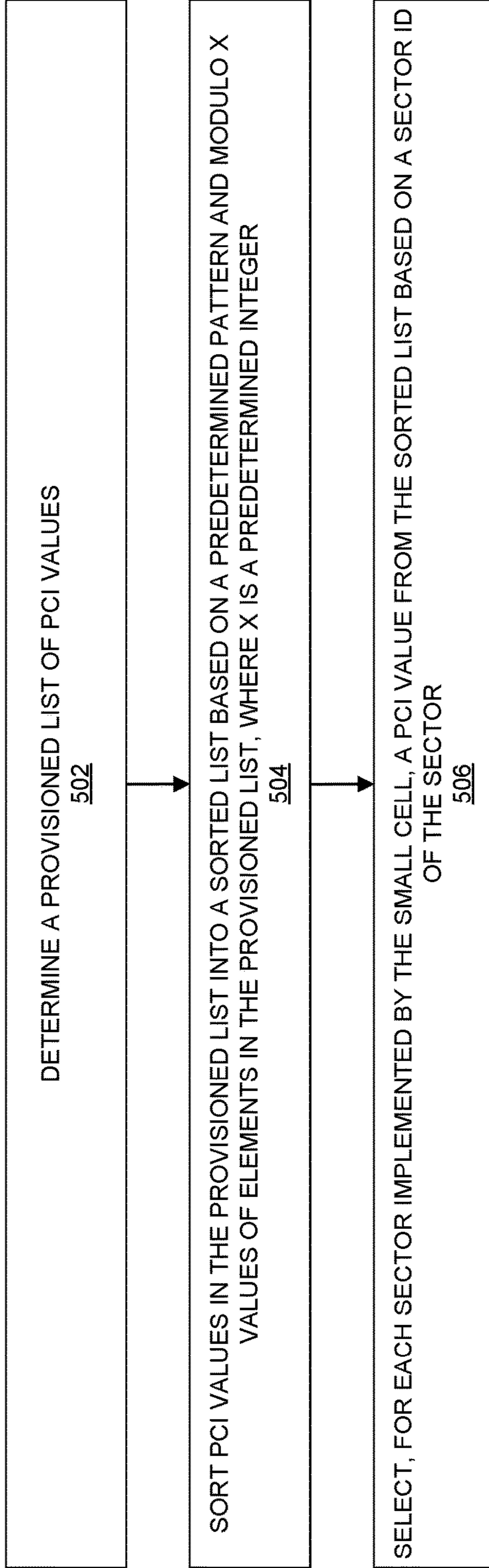
FIG. 3

400  
↘



**FIG. 4**

500  
↘



**FIG. 5**



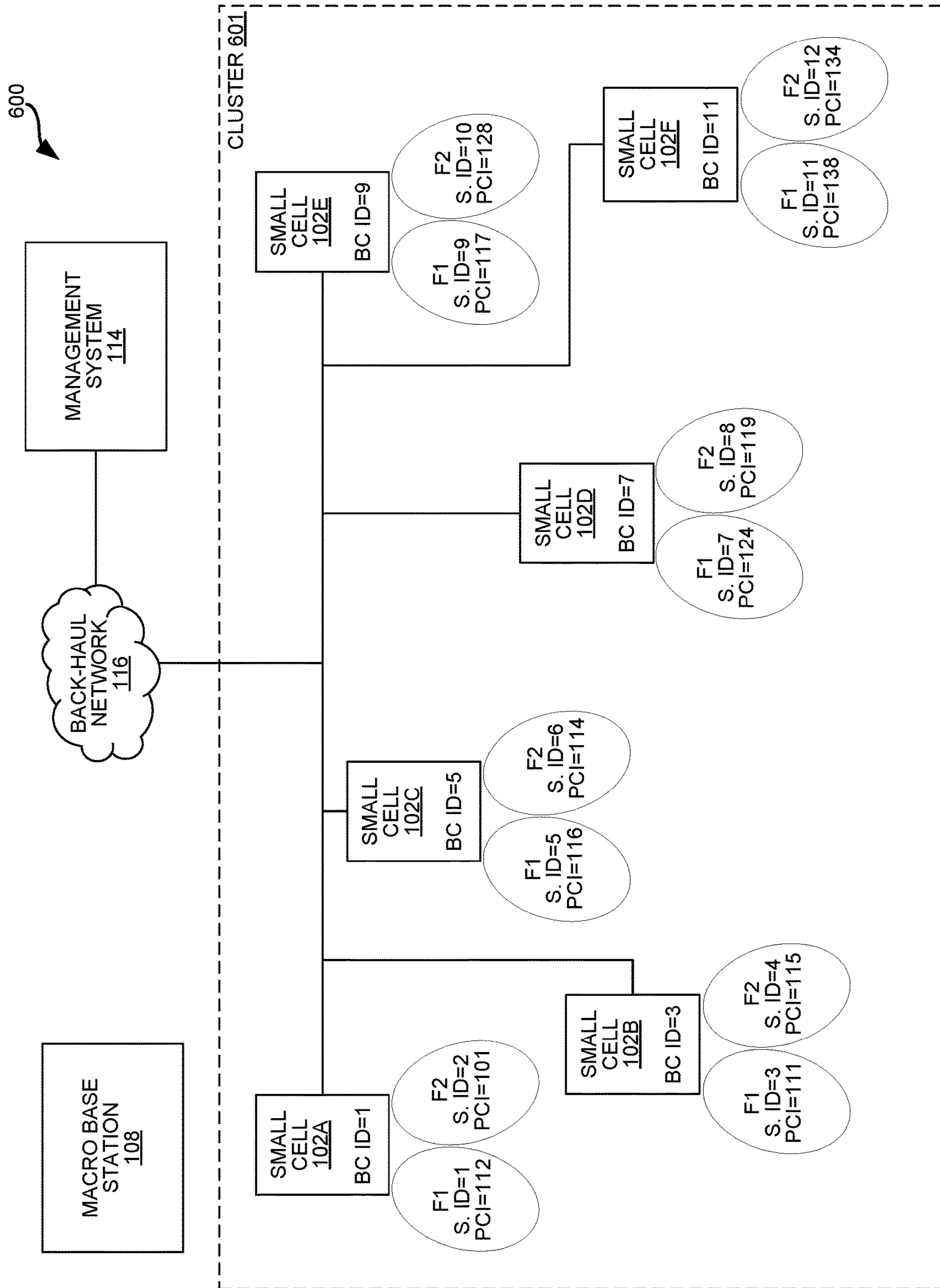


FIG. 6

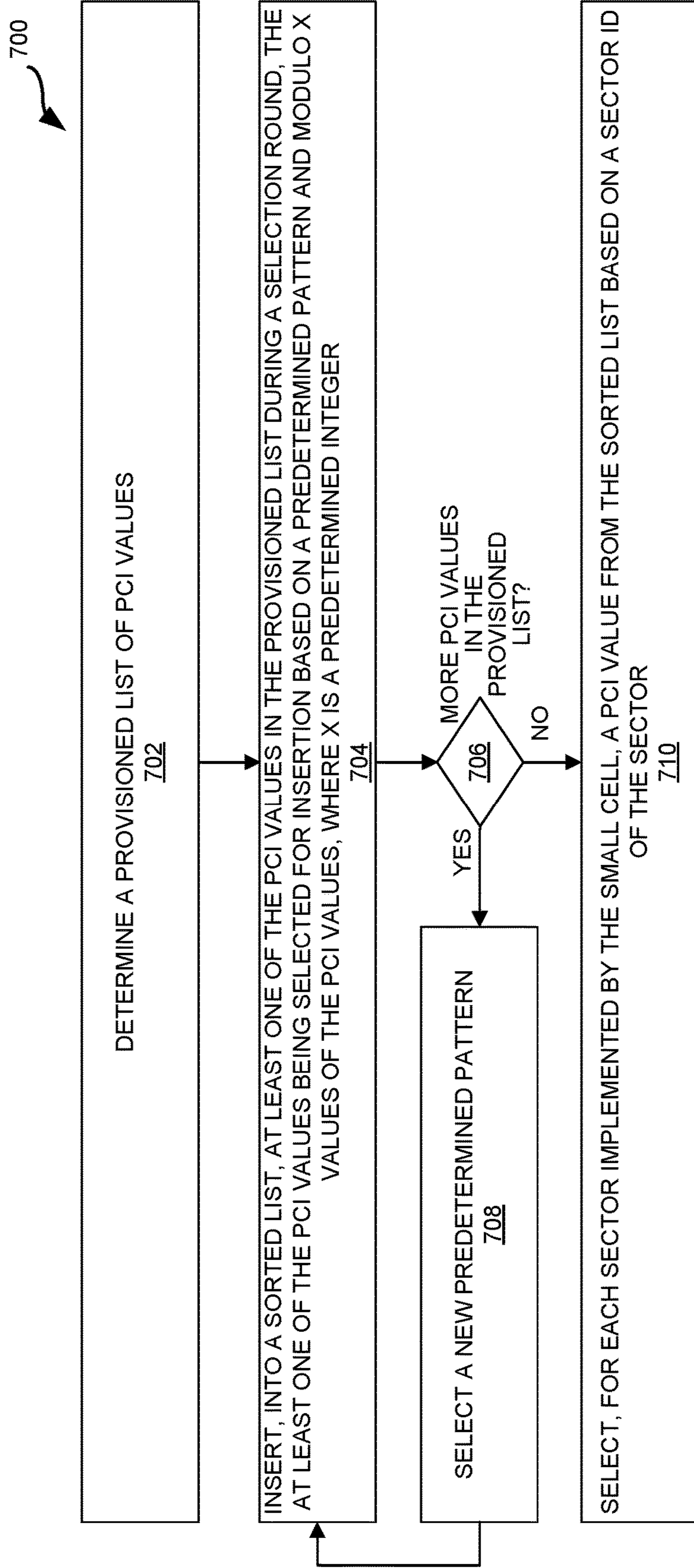


FIG. 7

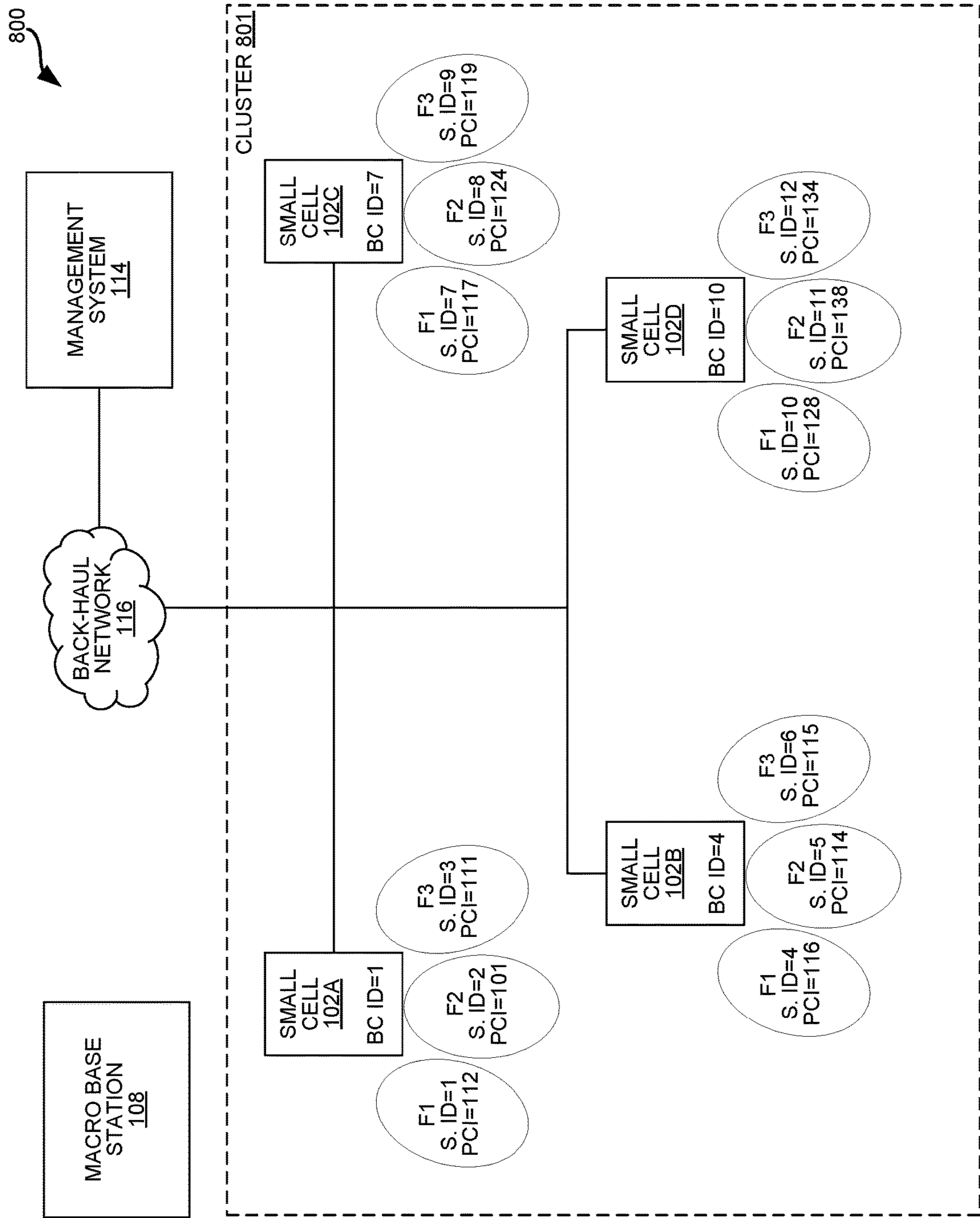
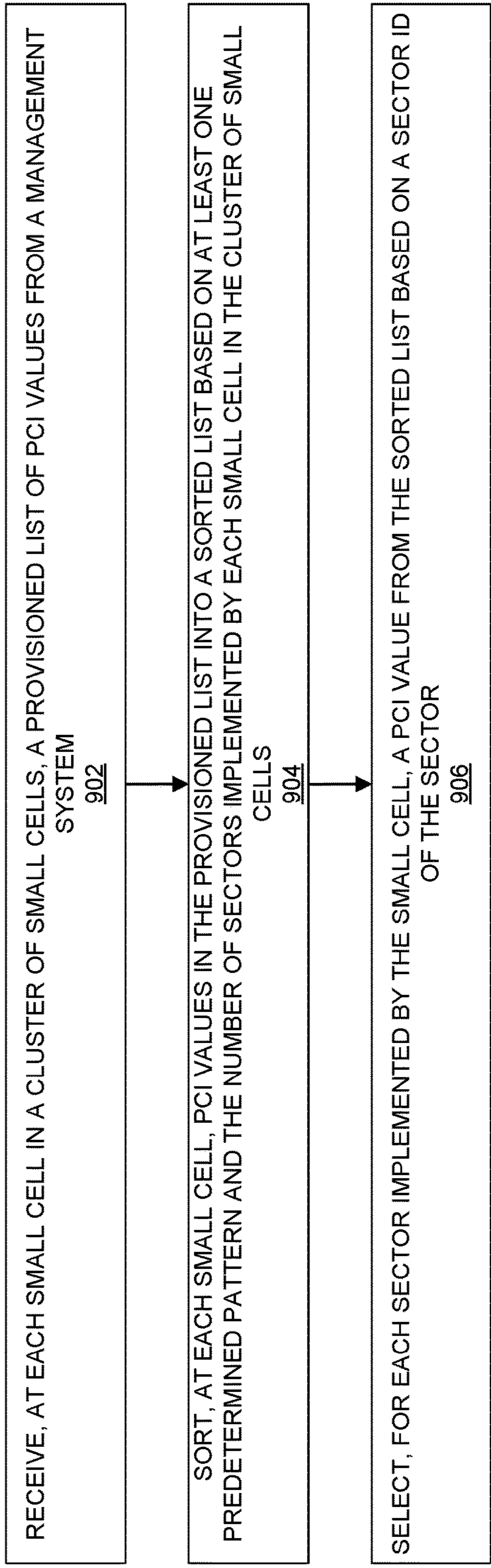


FIG. 8

900  
↘



**FIG. 9**

## 1

**AUTOMATIC CONFIGURATION OF  
OPERATIONAL PARAMETERS IN SMALL  
CELLS WITHOUT USING RADIO  
ENVIRONMENT MONITORING**

CROSS-REFERENCE TO RELATED  
APPLICATIONS

This application claims the benefit of U.S. Provisional Patent Application Ser. No. 62/950,831 filed on Dec. 19, 2019, entitled "AUTOMATIC CONFIGURATION OF OPERATIONAL PARAMETERS IN SMALL CELLS WITHOUT USING RADIO ENVIRONMENT MONITORING"; and

U.S. Provisional Patent Application Ser. No. 62/950,823 filed on Dec. 19, 2019, entitled "SELECTING A PHYSICAL CELL IDENTIFIER IN A SMALL CELL WITHOUT USING RADIO ENVIRONMENT MONITORING", both of which are incorporated herein by reference in their entireties.

BACKGROUND

Various parameters (e.g., physical cell identifiers (PCIs)) may be selected or assigned for each cell/sector implemented by a base station. In some configurations, when a parameter for a cell is the same as a neighboring cell, interference is introduced. Accordingly, it may be beneficial to select parameters for a cell (e.g., PCI) to avoid collisions with neighboring cells.

SUMMARY

A small cell for automatic configuration of an operational parameter includes at least one processor configured to determine a provisioned list of operational parameters. The at least one processor is also configured to sort the provisioned list into a sorted list. The at least one processor is also configured to select the operational parameter from the sorted list based on a BC ID for the small cell, a sector ID for a sector implemented by the small cell, or some combination.

DRAWINGS

Understanding that the drawings depict only exemplary configurations and are not therefore to be considered limiting in scope, the exemplary configurations will be described with additional specificity and detail through the use of the accompanying drawings, in which:

FIG. 1A is a block diagram illustrating an exemplary configuration of a system, which includes 3GPP Fourth Generation (4G) components, implementing automatic configuration of operational parameters in a small cell;

FIG. 1B is a block diagram illustrating an exemplary configuration of a system, which includes 3GPP Fifth Generation (5G) components, implementing automatic configuration of operational parameters in a small cell;

FIG. 2 is a block diagram illustrating a system implementing automatic configuration of operational parameters in a small cell (without REM);

FIG. 3 is a flow diagram illustrating a method for automatic configuration of operational parameters in a small cell;

FIG. 4 is a flow diagram illustrating a method for determining a Sector ID for at least one sector implemented by a small cell;

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FIG. 5 is a flow diagram illustrating a method for PCI selection in a small cell implementing a single sector;

FIG. 6 is a block diagram illustrating a system according to the first example of selecting PCIs in a cluster of small cells, each small cell implementing two sectors;

FIG. 7 is a flow diagram illustrating a method for PCI selection in a small cell implementing any number of sectors;

FIG. 8 is a block diagram illustrating a system according to the fifth example of selecting PCIs in a cluster of small cells, each small cell implementing three sectors; and

FIG. 9 is a flow diagram illustrating a method for selecting a PCI for a sector based on the number of sectors implemented by a small cell.

In accordance with common practice, the various described features are not drawn to scale but are drawn to emphasize specific features relevant to the exemplary configurations.

DETAILED DESCRIPTION

Communication systems can include different types of base stations, such as small cells and/or macro base stations. Small cells are generally lower-power, shorter-range, and can serve fewer max concurrent users than macro base stations. For example, small cell(s) may be used to fill in coverage gaps in macro base station coverage, e.g., indoors, in urban environments, etc.

A cloud radio access network (C-RAN) is one implementation of a base station with a distributed architecture. A C-RAN uses a baseband controller that communicates with multiple remote units (also referred to here as radio points (RPs)) in order to provide wireless service to various items of user equipment (UEs). In some cases, a C-RAN may be considered a type of small cell because it is generally shorter range and serves fewer max concurrent users than a macro base station.

Various operational parameters are configured for small cells, such as physical cell identifier (PCI), root sequence index (RSI), and/or tracking area code (TAC). When neighboring cells use identical PCI or RSI on the same frequency channel, known as a "collision", interference can occur. Therefore, in the co-channel LTE or 5G system, it is beneficial for each cell in a cluster (nearby grouping) to use unique operational parameters (e.g., PCI and RSI) compared to neighboring cells in the cluster, thus enabling surrounding UEs to differentiate radio signals sent from different cells.

In a small cell environment, network monitoring (also referred to as network listening) is often used to enable small cells to perform self-configuration of its operational parameters, such as PCI, RSI, TAC, etc. Network monitoring is a process where a small cell listens to the downlink transmissions from neighboring base stations on one or more provisioned frequencies. Network listening is also commonly referred to as Radio Environment Monitoring (REM). In addition to REM scans, a small cell can also employ Automatic Neighbor Relation (ANR) functions using mobile devices attached to the small cell to fine tune or re-adjust its operational parameters periodically.

However, in a multi-operator deployment, such as in C-RAN deployments where the remote units house more than one radio modules or units, enabling use of operator-specific and multi-frequency bands, it might not be viable to include a REM functionality in the remote units. Accordingly, the present systems and methods automatically configure initial operational parameters of a small cell in the absence of REM functionality (including REM functionality

being disabled). Additionally or alternatively, the techniques described herein could also be used to configure non-overlapping transmission opportunities for other configurations (such as sounding reference signal (SRS)) such that neighboring cell transmissions do not interfere with each other.

Specifically, the present systems and methods use a unique BC (baseband controller) ID assigned to a small cell (e.g., in a cluster) for self-configuration of operational parameters such as PCI and/or RSI. While the examples herein are described in the context of configuring PCI, the BC ID could additionally or alternatively be used to derive non-overlapping transmission opportunities for other configurations (such as SRS, etc.) such that transmissions from neighboring small cells (in a cluster) do not interfere with each other. For example, the BC ID could be used as an offset value so that transmission opportunities (e.g., for SRS, etc.) for neighboring small cells in a cluster do not overlap in time and/or frequency and, therefore, do not interfere with each other, e.g., the sorting herein can ensure that transmission opportunities for neighboring small cells are orthogonal in time and/or frequency.

Modulo X (also called “mod-X”) values (or remainders) are referred to herein. A mod-X value is the result of a mod-X operation, which determines a remainder after dividing a number by the integer X. For example, the mod-X value of 7 (mod-X(7)) would be the remainder after dividing 7 by X, i.e., if  $X=3$ ,  $\text{mod-}3(7)=1$ .

#### Example 4G System

FIG. 1A is a block diagram illustrating an exemplary configuration of a system 100A, which includes 3GPP Fourth Generation (4G) components, implementing automatic configuration of operational parameters in a small cell 102. The system 100A includes a cluster of small cells 102A-B and, optionally, at least one macro base station 108. In some configurations, a small cell can be implemented with a cloud radio access network (C-RAN) 102A. In some configurations, the system 100A may include a cluster of C-RANs 102A, each implementing a small cell 102.

In LTE, a base station may be referred to as an “eNodeB”, although the present systems and methods can alternatively or additionally be used with systems implementing 3G and/or 5G air interfaces. In some configurations, a small cell 102 may also be referred to as a Home eNodeB (HeNB), e.g., when it implements the 3GPP Long Term Evolution (LTE) air interface. However, it is understood that the system 100A can include any number and any type of base stations.

In the exemplary configuration shown in FIG. 1A, the C-RAN 102A employs at least one (and optionally multiple) baseband unit 104 and multiple radio points (RPs) 106A-M that serve at least one cell (also referred to as a sector). A C-RAN 102A may also be referred to herein as a “C-RAN system,” an “eNodeB,” a “base station,” and/or a “small cell.” The baseband unit 104 is also referred to herein as a “baseband controller” 104, just a “controller” 104, or a “BC” 104. Each RP 106A-M may include or be coupled to at least one antenna via which downlink RF signals are radiated to UEs 110A-M and via which uplink RF signals transmitted by UEs 110 are received. Furthermore, where an action is described as being performed by a C-RAN 102A, it may be performed in the baseband controller 104 and/or at least one RP 106A-M.

The RPs 106A-M and UEs 110 connected to (e.g., provided wireless service by) the C-RAN 102A may be located

at a site 101. The site 101 may be, for example, a building or campus or other grouping of buildings (used, for example, by one or more businesses, governments, other enterprise entities) or some other public venue (such as a hotel, resort, amusement park, hospital, shopping center, airport, university campus, arena, or an outdoor area such as a ski area, stadium or a densely-populated downtown area). In some configurations, a cluster of C-RANs 102A in the system 100A may be deployed in a single building, e.g., a first C-RAN 102A on a first floor, a second C-RAN 102A on a second floor, and so on.

It should be noted that the baseband controller 104 may or may not be located at the site 101 (with the RPs 106). For example, the baseband controller 104 may be physically located remotely from the RPs 106A-M (and the site 101) in a centralized bank of baseband controllers 104. Additionally, the RPs 106A-M are preferably physically separated from each other within the site 101, although they are each communicatively coupled to the baseband controller 104.

Each UE 110 may be a computing device with at least one processor that executes instructions stored in memory, e.g., a mobile phone, tablet computer, mobile media device, mobile gaming device, laptop computer, vehicle-based computer, a desktop computer, etc. It should be noted that any number of UEs 110 (e.g.,  $M=1-1,000$ ) may be present at the site 101.

The C-RAN(s) 102A may be coupled to the core network 112 of each wireless network operator over an appropriate back-haul network 116A. For example, the Internet (or any other ETHERNET network) may be used for back-haul between the system 100A and each core network 112. However, it is to be understood that the back-haul network 116A can be implemented in other ways.

In some configurations, the system 100A may be implemented as a Long Term Evolution (LTE) radio access network providing wireless service using an LTE air interface. However, it should be noted that the present systems and methods may be used with other wireless protocols, e.g., 2G, 3G, 4G, 5G. LTE is a 4G standard defined by the Third Generation Partnership Project (3GPP) standards organization. In the LTE configuration, the C-RAN 102A may be used to implement an LTE Evolved Node B (also referred to here as an “eNodeB” or “eNB”) or a Home eNodeB (HeNB). The eNodeB or HeNB may be used to provide UEs 110 with mobile access to the wireless network operator’s core network 112 to enable UE 110 to wirelessly communicate data and voice (using, for example, Voice over LTE (VoLTE) technology).

Also, in an exemplary LTE configuration, each core network 112 may be implemented as an Evolved Packet Core (EPC) 112 comprising standard LTE EPC network elements such as, for example, a mobility management entity (MME) and a Serving Gateway (SGW) and, optionally, a Home eNodeB gateway (HeNodeB GW) (not shown) and a Security Gateway (SeGW) (not shown).

Moreover, in an exemplary LTE configuration, the baseband controller 104 may communicate with the MME and SGW in the EPC core network 112 using the LTE S1 interface and communicates with eNodeBs using the LTE X2 interface. For example, the baseband controller 104 can communicate with an outdoor macro base station 108 via the LTE X2 interface.

The baseband controller 104 and RPs 106A-M can be implemented so as to use an air interface that supports one or more of frequency-division duplexing (FDD) and/or time-division duplexing (TDD). Also, the baseband controller 104 and the RPs 106A-M can be implemented to use an

air interface that supports one or more of the multiple-input-multiple-output (MIMO), single-input-single-output (SISO), and/or beam forming schemes. For example, the baseband controller **104** and the RPs **106A-M** can implement one or more of the LTE transmission modes. Moreover, the baseband controller **104** and the RPs **106A-M** can be configured to support multiple air interfaces and/or multiple wireless operators.

In some configurations, the front-haul network **116B** that communicatively couples each baseband controller **104** to the one or more RPs **106A-M** is implemented using a standard ETHERNET network. However, it is to be understood that the front-haul network **116B** can be implemented in other ways. The front-haul network **116B** may be implemented with one or more switches, routers, and/or other networking devices.

Data can be front-hauled between the baseband controller **104** and RPs **106A-M** in any suitable way (for example, using front-haul interfaces and techniques specified in the Common Public Radio Interface (CPRI) and/or Open Base Station Architecture Initiative (OBSAI) family of specifications).

The Third Generation Partnership Project (3GPP) has adopted a layered model for the LTE radio access interface. Generally, the baseband controller **104** and/or RPs **106A-M** perform analog radio frequency (RF) functions for the air interface as well as digital Layer-1 (L1), Layer-2 (L2), and/or Layer-3 (L3), of the 3GPP-defined LTE radio access interface protocol, functions for the air interface. In some configurations, the Layer-1 processing for the air interface may be split between the baseband controller **104** and the RPs **106A-M**, e.g., with L2-L3 functions for the air interface being performed at the baseband controller **104**.

A small cell **102** can implement one or more cells (or sectors). Each cell (or sector) implemented by a small cell **102** may be associated with various operational parameters, e.g., a physical cell identifier (PCI), a root sequence index (RSI), etc. The operational parameters for a cell may be assigned to or selected by the small cell **102** implementing the cell.

Small cells **102** (e.g., C-RANs **102A**) may be clustered in relative proximity to each other, e.g., in a building. In this type of clustered environment, the system **100A** may also include at least one management system **114** (e.g., a HeNB management system (HeMS) and/or a device management system (DMS)), which is used to provide configuration to and receive information from the small cells **102**. In some configurations, the management system **114** is an operations, administration, and management (OAM) system/network.

A suitable protocol (such as TR-069) and a suitable data model (such as TR-196) may be used for communicating information between the management system **114** and the small cells **102**. For example, if an operator wishes to configure a small cell **102** with a pre-determined PCI or RSI value, it can be pushed from the management system **114** and provisioned on the small cell **102**. In another mode, the operator (e.g., via the management system **114** or manually on the small cell **102**) also can provide a list of operational parameters, usually orthogonal to the macro configuration, (e.g., a list of PCIs, RSIs), after which the small cells **102** choose one from the given list.

In the absence of REM or inter-small-cell communication in the cluster, the autonomous selection of operational parameters is especially useful. In these types of automatic selection scenarios, small cells can select their own operational parameters (e.g., from a list provided by the management system **114**) to ensure that there is no collision in the

chosen operational values with those of neighboring small cells **102** in the network cluster.

Each small cell **102** is given a BC ID (that is unique within a cluster) from the management system **114** or configured directly at the small cell **102**, e.g., with input from the operator or installer of the larger system **100A**. For example, in a C-RAN **102A**, the BC ID may be assigned to the baseband controller **104** (that implements one or more cells). A Sector ID is also assigned to each cell/sector implemented by a small cell **102**. The Sector ID for the first sector is usually chosen to be equal to the BC ID; the Sector ID for the remaining sectors are chosen incrementally. Small cells **102** usually implement one or two sectors but can implement more than two in some configurations.

The BC IDs for the BCs **104** in the cluster are configured in an arithmetic progression, and the increment or difference is defined by the maximum number of sectors any BC **104** in the cluster can support. For example, if the small cells **102** implement two sectors each, then first BC ID in the system is 1 (implementing sectors with Sector IDs of 1 and 2), then second BC ID is the first BC ID+2=3 (and that BC implements sectors with Sector IDs of 3 and 4).

According to a first configuration of the present systems and methods, the BCs **104** would then use the Sector IDs to self-configure the PCI and/or RSI for its cells/sectors from a configured list of PCIs or RSIs, respectively. Specifically, each BC **104** may: (1) determine a Sector ID for each sector the BC **104** implements; (2) receive a list of provisioned operational parameters, e.g., from an operator via the management system **114**; (3) sort the list of provisioned operational parameters into a sorted list (e.g., based on the modulo X (mod-X) values of the elements in the list); and (4) assign each operational parameter, in the sorted list of operational parameters, to the sector(s) using each Sector ID as the index in the sorted list.

The planning of PCIs, particularly, has a strong impact on the performance of the system **100A** because a direct PCI collision (or mod-3 PCI collision where PCIs of neighboring cells have the same remainder when divided by three) results in interference and degrades system performance. An incorrect assignment might result in two neighboring cells of the same operating frequency having the same PCI resulting in what is referred to as a PCI confusion scenario, which degrades neighbor detection and impacts mobility. On the other hand, a mod-3 PCI collision (in 4G systems with 2 or 4 antennas) or a mod-6 collision (in systems with single antennas) causes pilot pollution and impacts downlink transmissions.

However, the present systems and methods have advantages over other non-REM solutions for configuring PCI in a cluster of small cells **102** because it does not require complex syncing mechanisms between the BCs **104** in a cluster. Specifically, in a second configuration of the present systems and methods, each BC **104** selects a non-interfering PCI (e.g., from a provisioned PCI list from the management system **114**) for use while bringing up its cell. A goal of this selection is to select a PCI for a cell/sector such that it does not have a direct or a mod-3 conflict with a nearby small cell's sector operating on the same frequency. This automated selection includes fashioning a provisioned PCI list (e.g., from the management system **114**) according to the given deployment scenario. For example, depending upon the number of sectors configured for the BC **104**, the provisioned PCI list (also referred to as an input PCI vector) is sorted differently to achieve optimal selection between the BCs **104** in a cluster.

FIG. 1B is a block diagram illustrating an exemplary configuration of a system **100B** that includes 3GPP Fifth Generation (5G) components. Optionally, the system **100B** may additionally include 4G components. Each of the components may be implemented using at least one processor executing instructions stored in at least one memory. In some configurations, at least some of the components are implemented using a virtual machine.

Fifth Generation (5G) standards support a wide variety of applications, bandwidth, and latencies while supporting various implementation options. In the system **100B**, interfaces denoted with “-c” or simply “c” (illustrated with dashed lines) provide control plane connectivity, while interfaces denoted with “-u” or simply “u” (illustrated with solid lines) provide user plane connectivity. More explanation of the various devices and interfaces in FIG. 1B can be found in 3GPP TR 38.801 Radio Access Architecture and Interfaces, Release 14 (available at <https://portal.3gpp.org/desktopmodules/Specifications/SpecificationDetails.aspx?specificationId=3056>), which is incorporated by reference herein.

FIG. 1B illustrates a small cell/C-RAN **102** implementing an example of a 5G Next Generation NodeB (gNB). The architecture of a Next Generation NodeB (gNB) is partitioned into a 5G Central Unit (CU) **103**, one or more 5G Distributed Unit (DU) **105A-B** and one or more 5G Remote Units (RU) **106N-O**. A 5G Central Unit (CU) **103** is a node that includes the gNB controller functions such as the transfer of user data, mobility control, radio access network sharing, positioning, session management, etc. The 5G CU **103** controls the operation of the Distributed Units (DUs) **105** over an interface (including F1-c and F1-u for the control plane and user plane, respectively).

The Distributed Units (DUs) **105** may be nodes that implement a subset of the gNB functions, depending on the functional split (between CU **103** and DU **105**). In some configurations, the L3 processing (of the 5G air interface) may be implemented in the CU **103** and the L2 processing (of the 5G air interface) may be implemented in the DU **105**. The operation of each DU **105** is controlled by a CU **103**. The functions of the DU **105** may include Radio Link Control (RLC), portions of Medium Access Control (MAC) and/or portions of the physical (PHY) layer functions. A Distributed Unit (DU) **105** can optionally offload some of its PHY (L1) processing (of the 5G air interface) to RUs **106N-O**.

In FIG. 1B, the C-RAN **102** implementing the example Next Generation NodeB (gNB) includes a single CU **103**, which handles control plane functions and user plane functions. The 5G CU **103** (in the C-RAN **102**) may communicate with at least one wireless service provider's Next Generation Cores (NGC) **112** using 5G NGc and 5G NGu interfaces. In some 5G configurations (not shown), a 5G CU is split between a CU-C that handles control plane functions and a CU-U that handles user plane functions.

In some 5G configurations, the RUs (RUs) **106N-O** may communicate baseband signal data to the DUs **105** on an NG-iq interface. In some 5G configurations, the RUs **106N-O** may implement at least some of the L1 and/or L2 processing. In some configurations, the RUs **106N-O** may have multiple ETHERNET ports and can communicate with multiple switches.

Any of the interfaces in FIG. 1B may be implemented using a switched ETHERNET (or fiber) network. Additionally, if multiple CUs **103** are present (not shown), they may

communicate with each other using any suitable interface, e.g., an Xn (Xn-c and Xn-u) and/or X2 interface. A fronthaul interface may facilitate any of the NG-iq, F1-c, and/or F1-u interfaces in FIG. 1B.

In some configurations, the CU **103** and/or DU(s) **105** may include an operational parameter module **118** configured to select operational parameters (e.g., PCI and/or RSI) for the CU **103** and/or DU(s) **105**, as described herein. The operational parameter module **118** may be implemented using at least one processor executing instructions stored in at least one memory in the CU **103** and/or DU(s) **105**.

#### Operational Parameter Selection

FIG. 2 is a block diagram illustrating a system **200** implementing automatic configuration of operational parameters in a small cell **102** (without REM). The system **200** includes at least one C-RAN **102**, each with (1) a BC **104** (if the C-RAN **102** implements an LTE air interface) or a CU **103** and DU(s) **105** (if the C-RAN **102** implements a 5G air interface); and (2) a number of RPs **106A-M** (if the C-RAN **102** implements an LTE air interface) or a number of RUs **106N-O** (if the C-RAN **102** implements a 5G air interface), although not shown in FIG. 2. Although a single C-RAN **102** is shown in FIG. 2, there may be a cluster of C-RANs **102**, each having a respective BC **104**/CU **103** implementing at least one cell/sector. It is understood that the system **200** can include any number and any type of base stations, e.g., small cells **102**, macro base stations **108**, etc.

In a co-channel system (e.g., a co-channel LTE system), it is beneficial for each cell in a cluster to have a unique operational parameter (such as PCI and RSI), thereby enabling UEs **110** to differentiate radio signals of different cells. Moreover, for PCI selection, other rules such as a mod-3 or mod-6 selection rule may be applied to get a better isolation of interference. For example, a mod-3 selection rule means that PCIs (or RSIs) assigned to neighboring cells would have a different remainder when divided by 3. Similarly, a mod-6 selection rule means that PCIs (or RSIs) assigned to neighboring cells would have a different remainder when divided by 6. Even though the mod-3 operator is used throughout the description, other mod-X operators can be used instead, where X is a predetermined integer, e.g., mod-2, mod-4, mod-5, mod-6, etc.

In the absence of REM or inter-BC (or inter-CU) communication, the BC **104**/CU **103** needs to autonomously configure itself with operational parameters (e.g., PCI and RSI) that don't interfere or clash with those of its neighbors. Specifically, an operational parameter module **118** in a BC **104**/CU **103** may include a Sector ID module **126**, a sorting module **130**, and a selection module **134** to select operational parameter(s) based on (1) a BC ID **122** assigned to the BC **104**/CU **103**; and (2) a provisioned list **124** received from the management system **114** (e.g., via the back-haul network **116**). Alternatively, the BC ID **122** and/or the provisioned list **124** can be locally configured instead of received from the management system **114**, e.g., where a remote management system **114** is not present and/or functioning.

The Sector ID module **126** may receive the BC ID from the management system **114** and determine a Sector ID **128** for each sector implemented by the BC **104**/CU **103**. BC IDs **122** for the BC **104**/CU **103** in the cluster are configured in an arithmetic progression, the increment or difference defined by the maximum number of sectors any BC **104**/CU **103** in the cluster can support, e.g., defined by the management system **114**. For example, if the BC **104**/CU **103**



implements two sectors, then the Sector ID **128** for sector **1** is the same as the BC ID **122**, and the Sector ID **128** for sector **2** is BC ID+1.

If two BCs **104**/CUs **103** have BC IDs **122** that are in the same color group, their operational parameters **136** (e.g., PCIs) will also likely collide. So, it is desirable to avoid BCs **104**/CUs **103** in the same color group having the same operational parameters (e.g., PCIs). Therefore, if any two BCs **104**/CUs **103** are going to be co-channel (operate on the same frequency channel), their BC IDs **122** may be configured such that they have unique color group indices. A color group index (CG) may be computed as  $\text{mod}(\text{BC ID } 122, X * \text{num\_sectors})$  for any given small cell **102**, where num\_sectors is the number of sectors implemented by the small cell, and X is a predetermined integer, e.g., 2, 4, etc. In other words, the CG of a small cell **102** may be the remainder after dividing the BC ID **122** by (X times the number of sectors implemented by the small cell **102**). Thus, for mod-3 operation, it can be ensured that a maximum of 3 co-channel BCs **104**/CUs **103** can have a unique color group index (CG). Or, for mod-4 operation, it can be ensured that a maximum of 4 co-channel BCs **104**/CUs **103** can have a unique color group index (CG). If possible, the BC IDs **122** are chosen (e.g., by an operator at the management system **114**) such that two BCs **104**/CUs **103** with the same color group index (CG) have maximum geographic distance between each other.

The sorting module **130** may receive and sort the provisioned list **124** from the management system **114** to determine a sorted list **132** (from which the BC **104**/CU **103** will select an operational parameter **138**). The provisioned list **124** (or provisioned input vector) of length N is the same for all small cells **102** in a cluster, where each element in the provisioned list **124** represents operational parameter values, e.g., PCIs or RSIs. The operator may provision a separate input vector (provisioned list **124**) for macro cells **108** in the system **200** than for small cells **102**.

In some configurations, an operator inputs or otherwise indicates the provisioned list **124** at the management system **114**. The provisioned list **124** is then sorted using at least one sorting rule. In a first example, the at least one sorting rule specifies that consecutive elements (e.g., PCI values) in the sorted list **132** are not the same, e.g., to avoid direct collision of neighboring cells. In a second example, the at least one sorting rule specifies that consecutive elements (e.g., PCI values) in the sorted list **132** have different mod-X (e.g., mod-3) values. In other words, the at least one sorting rule according to the second example specifies that consecutive elements in the sorted list **132** have different remainders when divided by a predetermined integer (X) in order to avoid interference between neighboring cells, thus ensuring that operational parameters (e.g., PCIs or RSIs) of adjacent cells do not have a mod-X collision.

As an example, the provisioned list **124** may include N=6 elements: [89 116 120 123 130 202]. After sorting, the sorted list **132** may be [202 116 123 130 89 120]. Alternatively, instead of receiving the provisioned list **124** and sorting it at the BC **104**/CU **103**, the operational parameter module **118** may receive the sorted list **132** from the management system **114**.

Once a sorted list **132** is determined or received, a selection module **134** may select an operational parameter **136** from the sorted list **132**. The BC **104**/CU **103** can select (self-assign) their operational parameter using the Sector ID(s) **128** of the cells/sectors it implements, thus achieving unique assignment among neighboring cells.

A mod-N sector index (Sector\_index) may be computed as  $\text{Sector\_index} = \text{mod}(\text{Sector ID } 128, N)$ . In other words, the sector index may be the remainder after dividing the Sector ID **128** for a cell/sector by N. If Sector\_index=0, then Sector\_index may be instead set as N. The operational parameter **136** (Op\_val) for the cell/sector may then be selected from the sorted list **132** (sorted\_vector) based on the sector index, e.g.,  $\text{Op\_val} = \text{sorted\_vector}(\text{Sector\_index})$ . In other words, the operational parameter **136** may be selected from the sorted list **132** at the sector index. The mod operation utilized in the operational parameter module **118** enables re-use of operational parameters **136** in case the number of cells/sectors in a cluster is larger than the provisioned list **124**.

Once the BC **104**/CU **103** has selected (self-assigned) its operational parameter(s) **136**, it brings up the cell(s) and begins operation using the configured operational parameter(s) **136**. For example, a cell startup module **138** may send the operational parameter(s) **136** to various RPs/RUs **106** and/or perform other registration functions. Furthermore, the operational parameters for the BC **104**/CU **103** can be further periodically optimized with respect to the surrounding environment, e.g., using other techniques such as automatic neighbor relation (ANR).

FIG. **3** is a flow diagram illustrating a method **300** for automatic configuration of operational parameters in a small cell **102**. The method **300** may be performed by at least one processor in a small cell **102**. If the small cell **102** is a C-RAN **102**, the at least one processor performing the method **300** may be in the baseband controller **104** (in 4G) or DU **105** or CU **103** (in 5G). For example, the method **300** may be performed while the baseband controller **104** (in 4G) or CU **103** (in 5G) initializes at least one sector it implements.

The blocks of the flow diagram shown in FIG. **3** have been arranged in a generally sequential manner for ease of explanation; however, it is to be understood that this arrangement is merely exemplary, and it should be recognized that the processing associated with method **300** (and the blocks shown in FIG. **3**) can occur in a different order (for example, where at least some of the processing associated with the blocks is performed in parallel and/or in an event-driven manner). Also, most standard exception handling is not described for ease of explanation; however, it is to be understood that method **300** can and typically would include such exception handling.

The method **300** begins at step **302** where the at least one processor determines a provisioned list **124** of operational parameters. The provisioned list **124** may be a vector (e.g., referred to as an input vector or configuration vector) where each element in the vector represents operational parameter values, e.g., PCIs or RSIs. In some configurations, the provisioned list **124** may have N elements and may be the same for all small cells **102** in a cluster. In some configurations, the provisioned list **124** is received from a management system **114**, e.g., HeMS, DMS, OAM system/network, etc. In other configurations, the at least one processor locally configures the provisioned list **124**, e.g., where a remote management system **114** is not present and/or functioning.

The method **300** proceeds at optional step **304** where the at least one processor determines if Radio Environment Monitoring (REM) is enabled in the small cell **102**. This can include (1) checking a flag stored at the BC **104**, DU **105**, or CU **103**; and/or (2) querying an RP **106A-M** or RU **106N-O** about their capabilities.

The method **300** proceeds at optional step **306** where, if REM is enabled in the small cell **102**, the at least one processor performs a REM scan and determines operational parameter(s) based on the REM scan results and the provi-

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sioned list **124**. The REM scan includes the small cell **102** listening to the downlink RF transmissions from neighboring cells (e.g., neighboring small cells **102** or macro base stations **108**) on one or more frequency channels and determining the operational parameters being used by the neighboring cells. After the REM scan, the small cell **102** can configure its operational parameter(s) by selecting from the provisioned list **124** so as to not interfere with the operational parameter(s) of its neighbors that it listened to during the REM scan. Avoiding interference can include avoiding direct and/or mod-X (e.g., mod-3) collisions with operational parameter(s) of neighbor cells.

The method **300** proceeds at optional step **308** where, if REM is enabled in the small cell **102**, the at least one processor performs periodic REM scans and determines operational parameter(s) based on the periodic REM scan results, a provisioned list **124**, and/or periodic updates (e.g., similar to optional step **314** below). For example, PCI values and Root Sequence Indicator (RSI) values could be selected using REM scan results and could optionally be further optimized using optional step **314**.

The method **300** proceeds at step **310** where, if REM is not enabled in the small cell **102**, the at least one processor sorts the provisioned list **124** into a sorted list **132** of operational parameters. The sorting may utilize pre-determined sorting rule(s) stored at the small cell **102**, e.g., in the BC **104**/CU **103** of the small cell **102**. Alternatively, instead of receiving the provisioned list **124** and sorting it at the small cell **102**, the small cell **102** may receive the sorted list **132** directly from the management system **114**.

In some configurations, the choice of sorting methodology for step **310** depends on the type of operational parameter (in the provisioned list **124**) being selected. Depending on the LTE transmission format (resource allocation of these parameters in frequency or time) of the operational parameter, an appropriate sorting methodology is determined (to avoid collision/interference in the frequency or time domain) with co-channel neighboring cells/sectors.

When the operational parameter is an RSI, the sorting in step **310** can be straightforward based on length of the provisioned list **124** and Sector ID **128**, e.g., sector ID **128** serves as index to the RSI value to be used in the provisioned list **124**. For example if the provisioned list **124** is [1 2 3 4 5 6 7 8] and there are two small cells **102**, each with two sectors, then the first small cell **102** will take 1 and 2 values for its two sectors, while a second small cell **102** takes 3 and 4 for its two sectors. In other cases,  $n$  RSIs need to be provisioned to each sector of a small cell (where  $n$  is known). In such cases, the RSI values can be sifted based on the sector ID, e.g., if  $n=2$ , then the first small cell **102** will take 1 and 2 for its first sector, and 3 and 4 for its second sector.

When the operational parameter is a transmission opportunity (e.g., for SRS, etc.), the sorting in step **310** can ensure that transmission opportunities for neighboring small cells **102** are orthogonal in time and/or frequency. For example, the BC ID could be used as an offset value so that transmission opportunities (e.g., for SRS, etc.) for neighboring small cells in a cluster do not overlap in time and/or frequency and, therefore, do not interfere with each other.

When the operational parameter is a PCI value, the sorting in step **310** may utilize a mod-X values of the elements in the provisioned list **124**. For example, the operational parameters in the provisioned list **124** may be sorted using a predetermined pattern (that includes modulo X remainders (e.g., 0, 1, 2, . . . X-1) of a predetermined integer X arranged in a particular order) such that the mod-X values of the

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elements in the sorted list **132** also appear in the same order as in the predetermined pattern. Accordingly, PCI selection seeks to choose the predetermined pattern such that no two elements (in the sorted list **132**) repeat at the same index given any two patterns. In this way, interference is avoided between sectors using same frequency. In some cases, the patterns can be collapsed into a single pattern of length X. In case of a single pattern, adjacent elements of the sorted list **132** may have different mod-X values. However, this is not always the case. Below are examples configurations elucidating these points.

In a first example configuration where  $X=3$  (e.g., mod-3 values are used to sort the provisioned list **124**) and each small cell **102** in a cluster implements a single sector, we have three patterns: 0; 1; and 2 (where the pattern length is 1). Here, adjacent elements in the sorted list **132** would have different mod-X (mod-3 in this case) values because the patterns differ at every index (the 0th index).

In a second example configuration where  $X=3$  (e.g., mod-3 values are used to sort the provisioned list **124**) and each small cell **102** in a cluster implements two sectors, we have three patterns: 0 1; 2 0; 1 2 (where the pattern length is 2). Here, given any two patterns, no two elements are the same at the 0th and 1st index.

In a third example configuration where  $X=5$  (e.g., mod-5 values are used to sort the provisioned list **124**) and each small cell **102** in a cluster implements three sectors, the patterns can be: 0 1 2; 3 4 0; 1 2 3; 4 0 1; 2 3 4 (where the pattern length is 3). Here given any two patterns, we do not see repetition at 0th, 1st or 2nd index. Thus a first small cell **102** has PCI elements with mod-5 values of 0 1 2, the second small cell **102** (in the same cluster) has PCI elements with mod-5 values of 3 4 0, and so on. Thus if the small cells **102** implement three sectors on frequencies  $f_1$ ,  $f_2$ , and  $f_3$ , respectively, they would not interfere.

For the above example configurations, the patterns can also be collapsed into to a single pattern, e.g., 0 1 2 of length  $X=3$  (in the first two example configurations) and [0 1 2 3] of length  $X=4$ , in the third example configuration (which corresponds to the FIG. **5** below). The use of single pattern is possible when the greatest common factor/divisor (GCF) of  $X$  and the number of sectors implemented by each small cell **102** is "1", e.g., when  $\text{GCF}(X, \text{num\_sectors})=1$ . For example, when  $X=3$ ,  $\text{GCF}(3,1)$  and  $\text{GCF}(3,2)=1$ , so a single pattern would be sufficient. Another example is  $\text{GCF}(4,3)$  for mod-4 and each small cell **102** implementing three sectors.

Additionally, if the patterns from the third example configuration are expanded into a string of values (e.g., [0 1 2 3 4 0 1 2 3 4 0 1 2 3 4]), adjacent elements in the sorted list **132** would still have different mod-X values. However this adjacency property is not required for PCI selection. Rather, PCI sorting is performed so that no two elements in any two patterns collide at the same index. For example, the patterns could also be arranged as 0 1 2; 2 3 4; 3 4 0; 1 2 3; 4 0 1. If the patterns were expanded into a string of values, it would be: [0 1 2 2 3 4 3 4 0 1 2 3 4 0 1]. In this case, adjacency is not maintained but it does not matter. Also, in this case, the patterns could not be collapsed into a single pattern.

In a third example configuration where  $X=4$  (e.g., mod-4 values are used to sort the provisioned list **124**) and each small cell **102** in a cluster implements two sectors, the patterns can be: 0 1; 1 2; 2 3; 3 0 (where the pattern length is 2). The patterns cannot be collapsed into a single pattern. We cannot achieve single pattern of 0 1 2 3 since collisions

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occur in the first and third pattern using patterns 0 1; 2 3; 0 1; 2 3. Also we can verify here that  $GCF(X, \text{num\_sectors})$  is not 1.

It should be noted that if optional step 304 is not performed, the method 300 may proceed from step 302 directly to step 310. In other words, the small cell 102 may sort the provisioned list 124 without determining whether REM is enabled in some configurations.

The method 300 proceeds at step 312 where, if REM is not enabled in the small cell 102, the at least one processor selects an operational parameter 136 from the sorted list 132 based on a BC ID 122, a Sector ID 128 for a sector implemented by the small cell 102, or a combination of both. In other words, A BC ID 122 and/or a Sector ID 128 can be used to assign optimal operational parameters to the small cells 102 (in a cluster of small cells 102) so that the operational parameters selected reduce (or at least don't increase) interference between the small cells 102.

In some configurations, the BCs 104/CUs 103 (in the small cell 102) may determine a Sector ID 128 for each sector it implements. BC IDs 122 for the BC 104/CU 103 in the cluster are configured in an arithmetic progression, the increment or difference defined by the maximum number of sectors any BC 104/CU 103 in the cluster can support, e.g., defined by the management system 114. For example, if a BC 104/CU 103 implements two sectors, then the Sector ID 128 for sector 1 is the same as the BC ID 122 (e.g., received from the management system 114), and the Sector ID 128 for sector 2 is BC ID+1. In some examples, the at least one processor selects an operational parameter 136 at an index (in the sorted list 132) that is based on (e.g., equal to) the Sector ID 128, where the Sector ID 128 was derived based on the BC ID 122 received from the management system 114.

In some configurations, step 312 includes selecting an operational parameter 136 in a different color group (CG) than the operational parameter(s) of neighboring cell(s). A color group (CG) index may be computed as  $\text{mod}(\text{BC ID } 122, X * \text{num\_sectors})$  for any given small cell 102, where num\_sectors is the number of sectors implemented by the small cell and X is a predetermined integer. In other words, the CG of a small cell 102 may be the remainder after dividing the BC ID 122 by (X times the number of sectors implemented by the small cell 102). Thus, it can be ensured that a maximum of X co-channel BCs 104/CUs 103 can have a unique color group index (CG). If possible, the BC IDs 122 are chosen (e.g., by an operator at the management system 114) such that two BCs 104/CUs 103 with the same color group index (CG) have maximum geographic distance between each other.

The method 300 proceeds at optional step 314 where, if REM is not enabled in the small cell 102, the at least one processor periodically updates the operational parameter 136. The operational parameter 136 may be continuously optimized, if necessary, during periodic ANR (automatic neighbor relation) performed in the small cell 102, e.g., BC 104/CU 103. ANR functionality in a small cell 102 is a procedure where the small cell 102 maintains a Neighbor Relation Table (NRT) containing the neighbor small cell's identifiers and operational parameters such as PCI, RSI, ECGI, EARFCN, etc. These parameters can be updated periodically via different means such as X2, UE ANR, OAM, handovers and is implementation-specific. ANR via UE is a procedure where the small cell 102 updates its Neighbor Relation Table (NRT) via UE reports. A small cell 102 instructs the UEs to perform measurements on newly

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detected neighbors and report the neighbor small cell's identifiers and signal strength.

## Sector ID Determination

FIG. 4 is a flow diagram illustrating a method 400 for determining a Sector ID 128 for at least one sector implemented by a small cell 102. The method 400 may be performed by at least one processor in a small cell 102. If the small cell 102 is a C-RAN 102, the at least one processor performing the method 400 may be in the baseband controller 104 (in 4G) or DU 105 or CU 103 (in 5G). The small cell 102 would generally include a single baseband controller 104 (in 4G) or CU 103 (in 5G), although other configurations are possible. Furthermore, it is assumed that the small cell 102 implementing the method 400 is one of multiple small cells 102 in a cluster of small cells 102, each small cell implementing at least one sector or cell. The small cell 102 may implement any number of cells (or sectors), e.g., 1, 2, 3, etc.

The blocks of the flow diagram shown in FIG. 4 have been arranged in a generally sequential manner for ease of explanation; however, it is to be understood that this arrangement is merely exemplary, and it should be recognized that the processing associated with method 400 (and the blocks shown in FIG. 4) can occur in a different order (for example, where at least some of the processing associated with the blocks is performed in parallel and/or in an event-driven manner). Also, most standard exception handling is not described for ease of explanation; however, it is to be understood that method 400 can and typically would include such exception handling.

The method 400 begins at step 402 where the at least one processor (in the small cell 102) receives a BC ID 122 from a management system 114. In order to avoid co-channel BCs 104 and/or CUs 103 from having colliding PCIs, the management system 114 may configure BC IDs 122 for co-channel BCs 104 and/or CUs 103 in a cluster such that they have unique color group indices. In some examples, a color group (CG) index is computed as  $\text{mod}(\text{BC ID } 122, 3 * \text{num\_sectors})$  for any given BC 104/CU 103. Thus, it can be ensured that a maximum of 3 co-channel BCs can have a unique CG index. If possible, BC IDs 122 are chosen such that two BCs 104 or CUs 103 with the same color index have the maximum geographic distance between each other.

The method 400 proceeds at step 404 where the at least one processor determines a Sector ID 128 for each of at least one sector implemented by the small cell 102 based on the BC ID 122. For example, each BC 104 or CU 103 may determine a Sector ID 128 for its sector(s) based on its BC ID 122, e.g., that was received from the management system 114. BC IDs 122 for the BCs 104 or CUs 103 in the cluster can be configured in an arithmetic progression, the increment or difference defined by the maximum number of sectors any BC 104 or CU 103 in the cluster can support. For example, if the small cells 102 in a cluster each implement two sectors, then the Sector IDs 128 for sector 1 and sector 2 are BC ID 122 and BC ID+1, respectively.

## Single-Sector and Two-Sector PCI Selection Scenario

Although there are many different types of operational parameters, such as physical cell identifier (PCI), root sequence index (RSI), and/or tracking area code (TAC), various PCI-specific selection is described below. In each of the following scenarios, it is assumed that a small cell 102, in a cluster of small cells 102, is configuring its PCI without using REM, e.g., the small cell 102 is configuring its initial PCI assignment needed to initialize the cell, which can be optimized later based on ANR. If the small cell 102 is a C-RAN 102, the small cell 102 would generally include a

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single baseband controller **104** (in 4G) or CU **103** (in 5G), although other configurations are possible.

FIG. **5** is a flow diagram illustrating a method **500** for PCI selection in a small cell **102** implementing one or two sectors. The method **500** may be performed by at least one processor in the small cell **102**, e.g., in the baseband controller **104** (in 4G) or CU **103** (in 5G) if the small cell **102** is implemented using a C-RAN **102**. For example, the method **500** may be performed while the baseband controller **104** (in 4G) or CU **103** (in 5G) initializes at least one sector it implements.

The blocks of the flow diagram shown in FIG. **5** have been arranged in a generally sequential manner for ease of explanation; however, it is to be understood that this arrangement is merely exemplary, and it should be recognized that the processing associated with method **500** (and the blocks shown in FIG. **5**) can occur in a different order (for example, where at least some of the processing associated with the blocks is performed in parallel and/or in an event-driven manner). Also, most standard exception handling is not described for ease of explanation; however, it is to be understood that method **500** can and typically would include such exception handling.

In a single-sector scenario, assume that each small cell **102** in the cluster implements one sector operating on frequency  $f_1$ . When each small cell **102** implements a single sector, the BC ID **122** assigned to each small cell **102** is also the Sector ID **128** of the sector implemented by the small cell **102**.

In a two-sector scenario, assume that each small cell **102** in the cluster implements two sectors operating on different frequencies:  $f_1$  and  $f_2$ . When a small cell **102** implements two sectors, the first sector's Sector ID **128** is equal to the BC ID **122** assigned to the small cell **102**, while the second sector's Sector ID **128** is equal to the BC ID+1.

The method **500** begins at step **502** where the at least one processor determines a provisioned list (P) **124** (of length  $N$ ), where each element in the provisioned list (P) **124** is a PCI value (with no repeated values in the provisioned list **124**). In some configurations, the management system **114** may have a separate list of PCI values for the macro base station(s) **108** in the area that does not overlap with the provisioned list **124** sent to the small cells **102** in the cluster. In some configurations, the at least one processor receives the provisioned list (P) **124** from a management system **114**. In other configurations, the at least one processor locally configures the provisioned list (P) **124**, e.g., where a remote management system **114** is not present and/or functioning.

The method **500** proceeds at step **504** where the at least one processor sorts PCI values in the provisioned list (P) **124** into a sorted list **132** based on a predetermined pattern and the mod- $X$  values (remainders when divided by a predetermined integer  $X$ ) of the elements in the provisioned list (P) **124**. In other words, the PCI values in the provisioned list (P) **124** are sorted using a predetermined pattern (that includes modulo  $X$  remainders (e.g., 0, 1, 2, . . .  $X-1$ ) of a predetermined integer  $X$  arranged in a particular order) such that the mod- $X$  values of the elements in the sorted list **132** also appear in the same order as in the predetermined pattern. In some (but not all) configurations, adjacent PCI values in the sorted list **132** may have different mod- $X$  (e.g., mod-3) values, i.e., adjacent PCI values in the sorted list **132** have different remainders when divided by a predetermined integer, such as 3. The at least one processor may accumulate the selected PCIs in a sorted list **132** (sorted\_vector).

In mod-3 operation, the predetermined pattern can be: 1, 2, 0; 1, 0, 2; 0, 1, 2; 0, 2, 1; 2, 1, 0; or 2, 0, 1. For example,

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if the predefined pattern is 1, 2, 0, the at least one processor may, during the first selection round, select the first PCI value in the provisioned list (P) **124** with a mod-3 value of 1, then select the first PCI value in the provisioned list (P) **124** with a mod-3 value of 2, then select the first PCI value in the provisioned list (P) **124** with a mod-3 value of 0. After a PCI value from the provisioned list (P) **124** is selected and placed in the sorted list **132**, it is no longer considered for selection during future selection rounds. If there is no PCI value in the provisioned list (P) **124** with a particular mod- $X$  (e.g., mod-3) value, then the operation is skipped for that mod- $X$  (e.g., mod-3) value during that round. In other words, less than three PCI values may be selected in a particular selection round, depending on the remaining PCI values in the provisioned list (P) **124**. For example, if the provisioned list (P) **124** does not include a PCI with a mod-3 value of 0, the at least one processor may only select two PCI values from the provisioned list (P) **124** in a selection round: one with a mod-3 value of 1 and another with a mod-3 value of 2. The predetermined patterns may be chosen so that the mod-3 value of a PCI of a particular sector (e.g., first sector) of a small cell **102** is different from the corresponding sector (e.g., first sector) of another small cell **102**.

The at least one processor may perform successive selection rounds until all PCI values in the provisioned list (P) **124** have been selected. As mentioned above, once a PCI in the provisioned list (P) **124** is selected during a selection round, it is excluded from consideration during future selection rounds. It should be noted that, in the method **500** where the small cells **102** in a cluster each implement one or two sectors, the same pattern is used for each successive selection round. In contrast, as discussed below, a different predetermined pattern can be used in different selection rounds in scenarios where the small cells **102** in a cluster each implement three sectors.

It should be noted that the PCI values in the sorted list **132** may not have an equal distribution of mod- $X$  (e.g., mod-3) values. As a non-limiting example, the mod-3 values of the PCI values in the sorted list **132** may be: mod-3(sorted\_vector)=[1 2 0 1 2 0 1 2 0 2 0 2 0 2 0] where the mod-3( $Y$ ) operator determines the mod-3 values of the vector  $Y$ .

The method **500** proceeds at step **506** where the at least one processor selects, for each sector implemented by the small cell **102**, a PCI value from the sorted list **132** based on a Sector ID **128** of the sector. For example, the at least one processor may determine an index (PCI\_index) for each sector implemented by the small cell **102** based on the Sector ID **128** of the sector, e.g., each sector implemented by the baseband controller **104** (in 4G) or CU **103** (in 5G) if the small cell **102** is implemented using a C-RAN **102**. For example, the index (PCI\_index) may be determined as  $PCI\_index = \text{mod}(\text{BC Sector ID}, N)$ ; where the index (PCI\_index) is set to  $N$  (the length of the provisioned list **124**) when  $\text{mod}(\text{BC Sector ID}, N) = 0$ . The Sector ID **128** may be determined using a BC ID **122** received from a management system **114**, e.g., as outlined in the method **400** of FIG. **4**.

In some configurations the same PCI can be assigned to all the sectors of a small cell **102**, e.g., where each small cell **102** in a cluster assigns the same PCI to each of its sectors, but the PCIs differ from small cell **102** to small cell **102** and are chosen according to a sorting scheme. For example, based on a flag (e.g., assignSamePCI), all the sectors of a small cell **102** can be required to use the same PCI. That is derive a Sector ID= $\text{ceil}(\text{BC ID}/\text{number of sectors})$  where  $\text{ceil}(Z)$  is a ceiling operator that produces the least integer greater than or equal to  $Z$ . In an example with 3 small cells

**102** implementing 3 sectors each (with BC IDs=1, 4, 7), the sector IDs used by the small cells **102** are 1, 2, 3 for the small cells **102**, respectively, and in turn used to derive the index (PCI\_index).

Step **506** may also include the at least one processor selecting, for each sector, one of the PCI values from the sorted list **132** based on the respective index for the sector. For example, the at least one processor can select a PCI value for the sector at the index in the sorted list **132** equal to the Sector ID **128**. Put another way, the selected PCI value (PCI\_sel) can be selected as:  $PCI\_sel = PCI\_new\_vector(PCI\_index)$ , e.g., the mod-N value of a Sector ID (e.g., where a mod-N value of 0 is assigned as N instead) can be thought of as an index to select a PCI value from the sorted list **132**.

It should be noted that the method **500** uses a single predetermined pattern, however, similar methods may utilize more than one predetermined pattern, as discussed below. When a single pattern is used (like the method **500** of FIG. **5**), the length of the pattern is equal to X (where X is the number used in the mod-X operation during sorting) but not the number of sectors implemented by each small cell **102**. In contrast, when multiple patterns are used, the length of the pattern is equal to num of sectors implemented by each small cell **102**. For example, if X=3 and num\_sectors=2, the pattern 0 1 2 could be chosen, after which the elements would be sorted in mod-3 fashion as 0 1 2 0 1 2 . . . . This could alternatively be seen as a set of 3 unique patterns of 0 1; 2 0; 1 2 . . . . A single pattern of 0 1 2 can be used because of the condition that  $GCF(3, 2)=1$ .

#### First Example

In a first example, a cluster of small cells **102** may be implemented using multiple C-RANs **102**, relatively closely-spaced together. The cluster is implemented as: (1) 12 BCs **104** (and/or CUs **103**), each implementing a single sector (each of the 12 sectors is assigned one of 12 unique PCIs in the provisioned list **124**); or (2) 6 BCs **104** (and/or CUs **103**), each implementing two sectors (each of the 12 sectors is assigned one 6 unique PCIs in the provisioned list **124**). When the cluster is implemented with 12 single-sector BCs **104** (or CUs **103**), the BC IDs **122** are from 1:12. When the cluster is implemented with 6 two-sector BCs **104** (or CUs **103**), the BC IDs **122** are 1, 3, 5, 7, 9, 11.

Assume that the provisioned list (P) **124**, received from the management system **114**, is:  $P=[101\ 111\ 112\ 114\ 115\ 116\ 117\ 119\ 124\ 128\ 134\ 138]$ . Accordingly, each small cell **102** will select one of the 12 PCIs in this list. Before selection, the PCI values may be sorted (e.g., as described in step **504** above). If the 1, 2, 0 pattern is used, the sorted list **132** may be given as:  $PCI\_new\_vector=[112\ 101\ 111\ 115\ 116\ 114\ 124\ 119\ 117\ 128\ 138\ 134]$ .

Next, an index for each sector may be determined, e.g., by the BC **104** or CU **103** implementing the sector as described above. For example, the index (PCI\_index) may be determined as  $PCI\_index = \text{mod}(\text{BC Sector ID}, N)$ . In the first example (12 single-sector or 6 two-sector BCs **104**/CUs **103**) with a provisioned list **124** of length  $N=12$ , the indices for Sector ID=1:12 are:  $PCI\_index=[1\ 2\ 3\ 4\ 5\ 6\ 7\ 8\ 9\ 10\ 11\ 12]$ .

Lastly, a PCI is selected (from the sorted list **132**) for each sector based on the respective index for the sector, e.g., as described above. In other words, each sector may be assigned a PCI (from the sorted list **132**) based on the sector's PCI\_index (1:12). The PCI for each sector can then be assigned as:  $PCI\_sel(1:12)=[112\ 101\ 111\ 115\ 116\ 114$

124 119 117 128 138 134]. Therefore, in the first example, the Sector ID can be thought of as an index to select a PCI from the sorted list **132**, e.g., Sector ID **1** is assigned the first PCI in the sorted list **132**; Sector ID **2** is assigned the second PCI in the sorted list **132**; Sector ID **3** is assigned the third PCI in the sorted list **132**; etc.

FIG. **6** is a block diagram illustrating a system **600** according to the first example (described above) of selecting PCIs in a cluster **601** of small cells **102**, each small cell **102** implementing two sectors. The system **600** is shown with six different small cells **102A-F**, each implementing two sectors (on operating carrier frequencies f1 and f2, respectively). In some configurations, each of one or more of the small cells **102** is implemented using a C-RAN **102** with a BC **104** (if 4G) or a CU **103** (if 5G). The small cells **102** may be communicatively coupled to a management system **114** (via a back-haul network **116**) and/or be near one or more macro base stations **108**.

The sectors are illustrated as ovals in FIG. **6**, however, it is understood that each individual sector could take any suitable shape or size (and may overlap with other sectors). In each sector (oval) is shown (1) the operating carrier frequency of the sector (f1 or f2); (2) the Sector ID **128** of the sector (abbreviated as "S. ID"); and (3) the PCI selected for the sector.

According to the first example, the management system **114** may send a provisioned list **124** to the small cells **102**. The provisioned list **124** may include 12 unique PCIs that do not overlap with the PCIs provisioned for surrounding macro base station(s) **108**. In other words, the management system **114** may have a separate list of PCIs for the macro base station(s) in the area that does not overlap with the provisioned list **124** sent to the small cells **102** in the cluster **601**. The provisioned list **124** may be given as:  $P=[101\ 111\ 112\ 114\ 115\ 116\ 117\ 119\ 124\ 128\ 134\ 138]$ .

A BC ID **122** is also supplied (e.g., from the management system **114**) to each small cell **102** during start-up or commissioning. The BC IDs **122** for the small cells **102** are 1, 3, 5, 7, 9, 11. It should be noted that the small cell **102A** with BCID=1 and the small cell **102D** with BC ID=7 are located geographically far apart since they have the same color group:  $CG = \text{mod}(7,6) = \text{mod}(1,6)$ . Similarly, the small cell **102B** with BCID=3 and the small cell **102E** with BC ID=9 are located geographically far apart since they have the same color group:  $CG = \text{mod}(3,6) = \text{mod}(9,6)$ . Similarly, the small cell **102C** with BCID=5 and the small cell **102F** with BC ID=11 are located geographically far apart since they have the same color group:  $CG = \text{mod}(5,6) = \text{mod}(11,6)$ .

Each small cell **102** may sort the received provisioned list **124** into a sorted list **132**, e.g., according to step **504**. For example, the sorted list **132** may be given as:  $PCI\_new\_vector=[112\ 101\ 111\ 115\ 116\ 114\ 124\ 119\ 117\ 128\ 138\ 134]$ . Each small cell **102** may then determine an index for each sector it implements and determine a PCI for each sector it implements based on the index, as shown in FIG. **6**.

#### Second Example

In a second example, the cluster again includes small cells **102** implemented with C-RANs **102** in proximity to each other. The cluster is implemented as: (1) 12 BCs **104** (and/or CUs **103**), each implementing a single sector (each of the 12 sectors is assigned one of 12 unique PCIs in the provisioned list **124**); or (2) 6 BCs **104** (and/or CUs **103**), each implementing two sectors (each of the 12 sectors is assigned one 6 unique PCIs in the provisioned list **124**). When the cluster is implemented with 12 single-sector BCs **104** (or CUs **103**),

the BC IDs **122** are from 1:12. When the cluster is implemented with 6 two-sector BCs **104** (or CUs **103**), the BC IDs **122** are 1, 3, 5, 7, 9, 11.

However, the second example differs from the first example because the provisioned list (P) **124** only includes six PCIs (not 12 as in the first example). Therefore, in the second example, there are 12 sectors implemented across the cluster and only six unique PCIs to be assigned. Accordingly, the PCIs are reused across different sectors in the cluster due to the limited number of PCIs available. Assume that the provisioned list (P) **124**, received from the management system **114**, is: P=[101 111 112 114 115 116].

Before selection, the PCI values may be sorted (e.g., as described in step **504** above). If the 1, 2, 0 pattern is used, the sorted list **132** may be given as: PCI\_new\_vector=[112 101 111 115 116 114].

Next, an index for each sector may be determined, e.g., by the BC **104** or CU **103** implementing the sector, as described above. For example, the index (PCI\_index) may be determined as  $PCI\_index = \text{mod}(\text{BC Sector ID}, N)$ , e.g., where a value of 0 is assigned as N instead. In the second example (12 single-sector or 6 two-sector BCs **104**/CUs **103**) with a provisioned list **124** of length  $N=6$ , the indices for Sector ID=1:12 are: PCI\_index=[1 2 3 4 5 6 1 2 3 4 5 6].

Lastly, a PCI is selected (from the sorted list **132**) for each sector based on the respective index for the sector, e.g., as described in step **506** above. In other words, each sector may be assigned a PCI (from the sorted list **132**) based on the sector's PCI\_index (1:12). The PCI for each sector can then be assigned as: PCI\_sel (1:12)=[112 101 111 115 116 114 112 101 111 115 116 114]. Therefore, in the second example, the mod-6 value of a Sector ID (e.g., where a mod-6 value of 0 is assigned as 6 instead) can be thought of as an index to select a PCI from the sorted list **132**, e.g., Sector ID **1** is assigned the first PCI in the sorted list **132**; Sector ID **2** is assigned the second PCI in the sorted list **132**; . . . Sector ID **7** is assigned the first PCI in the sorted list **132**; Sector ID **8** is assigned the second PCI in the sorted list **132**; etc.

### Third Example

In a third example, the cluster again includes small cells **102** implemented with C-RANs **102** in proximity to each other. The cluster is implemented as: (1) 12 BCs **104** (and/or CUs **103**), each implementing a single sector (each of the 12 sectors is assigned one of 12 unique PCIs in the provisioned list **124**); or (2) 6 BCs **104** (and/or CUs **103**), each implementing two sectors (each of the 12 sectors is assigned one 6 unique PCIs in the provisioned list **124**). When the cluster is implemented with 12 single-sector BCs **104** (or CUs **103**), the BC IDs **122** are from 1:12. When the cluster is implemented with 6 two-sector BCs **104** (or CUs **103**), the BC IDs **122** are 1, 3, 5, 7, 9, 11.

However, in the third example, the provisioned list (P) **124** only includes five PCIs (not 6 or 12 as in the first and second examples, respectively). Therefore, in the third example, there are 12 sectors implemented across the cluster and only five unique PCIs to be assigned. Accordingly, the PCIs are reused across different sectors in the cluster due to the limited number of PCIs available, and some PCIs are even used three times. Assume that the provisioned list (P) **124**, received from the management system **114**, is: P=[101 111 112 114 115]. Before selection, the PCI values may be sorted (e.g., as described in step **504** above). If the 1, 2, 0 pattern is used, the sorted list **132** may be given as: PCI\_new\_vector=[112 101 111 115 114].

Next, an index for each sector may be determined, e.g., by the BC **104** or CU **103** implementing the sector as described above. For example, the index (PCI\_index) may be determined as  $PCI\_index = \text{mod}(\text{BC Sector ID}, N)$ , e.g., where a value of 0 is assigned as N instead. In the third example (12 single-sector or 6 two-sector BCs **104**/CUs **103**) with a provisioned list **124** of length  $N=5$ , the indices for Sector ID=1:12 are: PCI\_index=[1 2 3 4 5 1 2 3 4 5 1 2].

Lastly, a PCI is selected (from the sorted list **132**) for each sector based on the respective index for the sector, e.g., as described in step **506** above. In other words, each sector may be assigned a PCI (from the sorted list **132**) based on the sector's PCI\_index (1:12). The PCI for each sector can then be assigned as: PCI\_sel (1:12)=[112 101 111 115 114 112 101 111 115 114 112 101]. Therefore, in the third example, the mod-5 value of a Sector ID (e.g., where a mod-5 value of 0 is assigned as 5 instead) can be thought of as an index to select a PCI from the sorted list **132**, e.g., Sector ID **1** is assigned the first PCI in the sorted list **132**; Sector ID **2** is assigned the second PCI in the sorted list **132**; . . . Sector ID **6** is assigned the first PCI in the sorted list **132**; Sector ID **8** is assigned the second PCI in the sorted list **132**; . . . Sector ID **11** is assigned the first PCI in the sorted list **132**; etc.

### Three-Sector Scenario

FIG. **7** is a flow diagram illustrating a method **700** for PCI selection in a small cell **102** implementing any number of sectors (e.g., three sectors). The method **700** may be performed by at least one processor in the small cell **102** configuring its PCI without using REM, e.g., in the baseband controller **104** (in 4G) or CU **103** (in 5G) if the small cell **102** is implemented using a C-RAN **102**. For example, the method **700** may be performed while the baseband controller **104** (in 4G) or CU **103** (in 5G) initializes at least one sector it implements. If the small cell **102** is a C-RAN **102**, the small cell **102** would generally include a single baseband controller **104** (in 4G) or CU **103** (in 5G), although other configurations are possible.

The blocks of the flow diagram shown in FIG. **7** have been arranged in a generally sequential manner for ease of explanation; however, it is to be understood that this arrangement is merely exemplary, and it should be recognized that the processing associated with method **700** (and the blocks shown in FIG. **7**) can occur in a different order (for example, where at least some of the processing associated with the blocks is performed in parallel and/or in an event-driven manner). Also, most standard exception handling is not described for ease of explanation; however, it is to be understood that method **700** can and typically would include such exception handling.

In a three-sector scenario, assume that each small cell **102** in the cluster implements three sectors operating on frequencies  $f_1$ ,  $f_2$ , and  $f_3$ . When a small cell **102** implements three sectors, the first sector's Sector ID **128** is equal to the BC ID **122** assigned to the small cell **102**, the second sector's Sector ID **128** is equal to the BC ID+1, and the third sector's Sector ID **128** is equal to the BC ID+2.

The method **700** begins at step **702** where the at least one processor determines a provisioned (P) list **124** (of length N), where each element in the provisioned list (P) **124** is a PCI value (with no repeated values in the provisioned list **124**). In some configurations, the management system **114** may have a separate list of PCI values for the macro base station(s) **108** in the area that does not overlap with the provisioned list **124** sent to the small cells **102** in the cluster. In some configurations, the at least one processor receives the provisioned list (P) **124** from a management system **114**. In other configurations, the at least one processor locally

configures the provisioned list (P) **124**, e.g., where a remote management system **114** is not present and/or functioning

The method **700** proceeds at step **704** where the at least one processor inserts, into a sorted list **132**, at least one of the PCI value in the provisioned list (P) **124** during a selection round. The at least one PCI value is selected for insertion based on (1) a predetermined pattern; and (2) the modulo X (mod-X) values of elements in the provisioned list, where X is a predetermined integer. In other words, the at least one PCI value is selected for insertion using at least one predetermined pattern (each pattern including modulo X remainders (e.g., 0, 1, 2, . . . X-1) of a predetermined integer X arranged in a particular order) so that the mod-X values of the elements inserted during a particular selection round also appear in the same order as in the predetermined pattern used for the selection round. For example, the at least one processor may select up to three PCIs from the provisioned list (P) **124** according to a first predetermined pattern (of mod-X values) during a first selection round. The at least one processor may accumulate the selected PCI values in a sorted list **132** (sorted\_vector). For example, the first predetermined pattern can be: 1, 2, 0; 1, 0, 2; 0, 1, 2; 0, 2, 1; 2, 1, 0; or 2, 0, 1.

For example, if the predefined pattern is 1, 2, 0, the at least one processor may, during the first selection round, select the first PCI value in the provisioned list (P) **124** with a mod-3 value of 1, then select the first PCI value in the provisioned list (P) **124** with a mod-3 value of 2, then select the first PCI value in the provisioned list (P) **124** with a mod-3 value of 0. After a PCI value from the provisioned list (P) **124** is selected and placed in the sorted list **132**, it is no longer considered for selection during future selection rounds. If there is no PCI value in the provisioned list (P) **124** with a particular mod-X (e.g., mod-3) value, then the operation is skipped for that mod-X (e.g., mod-3) value during that round. Less than three PCI values may be selected in a particular selection round, depending on the remaining PCI values in the provisioned list (P) **124**. For example, if the provisioned list (P) **124** does not include a PCI with a mod-X (e.g., mod-3) value of 0, the at least one processor may only select two PCI values from the provisioned list (P) **124** in a selection round: one with a mod-X (e.g., mod-3) value of 1 and another with a mod-X (e.g., mod-3) value of 2.

Following each successive selection round (each instance of step **704**), the method **700** proceeds at step **706** where the at least one processor determines whether there are more PCI values in the provisioned list **124**. In other words, the at least one processor checks whether any of the PCI values in the provisioned list **124** have not yet been selected (and placed in the sorted list **132**). Put yet another way, when all the PCI values in the provisioned list **124** have not been inserted into the sorted list **132**, the at least one processor may perform at least one additional selection round, one or more of the additional selection rounds being performed based on at least one different predetermined pattern.

If yes, the method **700** proceeds at step **708** where the at least one processor selects a new predetermined pattern, after which a new subset of PCI value(s) is selected during a new selection round (new instance of step **704**). It should be noted that the “new” predetermined pattern in step **708** can be one that was previously be used, but generally not in the immediately preceding selection round.

In one configuration, the predetermined pattern used during the first selection round/iteration of step **704** is 1, 2, 0; the predetermined pattern used during the second selection round/iteration of step **704** (if performed) is 2, 0, 1; and the predetermined pattern used during the third selection

round/iteration of step **704** (if performed) is 0, 1, 2. At each selection round, the selected PCI value(s) is/are accumulated in the sorted list (PCI\_new\_vector) and, if there is no PCI value with a particular mod-X (e.g., mod-3) value found in the predetermined pattern, then the mod-X (e.g., mod-3) value is skipped during that selection round.

Specifically, the predetermined patterns may be chosen so that the mod-3 value of a PCI of a particular sector (e.g., first sector) of a small cell **102** is different from the corresponding sector (e.g., first sector) of another small cell **102** (since a mod-3 collision occurs between any two sectors operating on the same frequency with PCIs whose mod-3 remainders are the same). For example, if the mod-3 value of three sectors of a first small cell **102** are 1, 2, 0 in this example, then the mod-3 values of the sectors of a second small cell **102** are 2 0 1. Thus, the mod-3 value of the first sector of the first small cell **102** (1) is different than the mod-3 value of the first sector of the second small cell **102** (2). Similarly, the mod-3 value of the second sector of the first small cell **102** (2) is different than the mod-3 value of the second sector of the second small cell **102** (0). Similarly, the mod-3 value of the third sector of the first small cell **102** (0) is different than the mod-3 value of the third sector of the second small cell **102** (1).

If the at least one processor determines that there are no PCI values in the provisioned list **124** (that have not been selected and placed in the sorted list **132**) in step **706**, the method **700** proceeds at step **710** where the at least one processor selects, for each sector implemented by the small cell, a PCI value from the sorted list **132** based on a Sector ID **128** of the sector. For example, the at least one processor may determine an index (PCI\_index) for each sector implemented by the small cell **102** based on a Sector ID **128** of the sector, e.g., each sector implemented by the baseband controller **104** (in 4G) or CU **103** (in 5G) if the small cell **102** is implemented using a C-RAN **102**. For example, the index (PCI\_index) may be determined as  $PCI\_index = \text{mod}(\text{BC Sector ID}, N)$ ; where the index (PCI\_index) is set to N (the length of the provisioned list **124**) when  $\text{mod}(\text{BC Sector ID}, N) = 0$ . The Sector ID **128** may be determined using a BC ID **122** received from a management system **114**, e.g., as outlined in the method **400** of FIG. 4.

Step **710** may also include the at least one processor selecting, for each sector, one of the PCI values from the sorted list **132** based on the respective index for the sector. For example, the at least one processor can select a PCI value for the sector at the index in the sorted list **132** equal to the Sector ID **128**. Put another way, the selected PCI value (PCI\_sel) can be selected as:  $PCI\_sel = PCI\_new\_vector(PCI\_index)$ , e.g., the mod-N value of a Sector ID (e.g., where a mod-N value of 0 is assigned as N instead) can be thought of as an index to select a PCI value from the sorted list **132**.

Step **710** may be performed similarly to step **506**. In some configurations, the Sector ID **128** may be determined using a BC ID **122** received from a management system **114**, e.g., as outlined in the method **400** of FIG. 4.

It should be noted that, while the method **700** of FIG. 7 is described above for configurations in which each small cell **102** implements 3 sectors, the method **700** can be generalized for any number of sectors (e.g., each small cell **102** implements 1 or 2 sectors) and any mod-X operation. Generally, the length of the predetermined pattern is chosen to be equal to the number of sectors implemented by each small cell **102**, and the number of patterns is equal to X, where X is the number used in the mod-X operation during sorting.

In an example where each small cell **102** implements a single sector, the length of each predetermined pattern is one element. For mod-3 operation, the number of patterns used is 3. Thus, the sequence of patterns used could be 1; 2; 0; which repeats itself. This may produce the same result as a 1 2 0 pattern that repeats itself, discussed above.

In an example where each small cell **102** implements two sectors, the length of each predetermined pattern is two elements. For mod-3 operation, the number of patterns used is 3. The sequence of patterns, for example, is 1,2; 0, 1; 2, 0 which repeats itself. This may produce the same result as a 1 2 0 pattern that repeats itself, discussed above.

In an example where each small cell **102** implements three sectors, the length of each predetermined pattern is three elements. For mod-3 operation, the number of patterns used is 3. The sequence of patterns, for example, is 1,2 0; 2,0, 1; 0,1, 2 which repeats itself.

In an example where each small cell **102** implements two sectors, the length of each predetermined pattern is two elements. For mod-4 operation, the number of patterns used is 4. The sequence of patterns, for example, is 0, 1; 2, 3; 1, 0; 3, 2 which repeats itself. Another set of patterns is 0, 1; 1, 2; 2, 3; 3, 0. Note that in this sequence adjacent elements have same mod-X. Thus, is it not necessarily required for adjacent elements in a sorted list **132** to have different mod-X values in all configurations, although it may be used in some configurations.

#### Fourth Example

In a fourth example, a cluster of small cells **102** includes multiple C-RANs **102**, relatively closely spaced together. The cluster is implemented using four BCs **104** (and/or CUs **103**), each implementing three sectors (each of the 12 sectors is assigned one of 12 unique PCIs in the provisioned list **124**). The BC IDs **122** of the four BCs **104** (and/or CUs **103**) are 1, 4, 7, and 10.

Assume that the provisioned list (P) **124**, received from the management system **114**, is: P=[101 111 112 114 115 116 117 119 124 128 134 138]. Before selection, the PCI values may be sorted into a sorted list **132**, e.g., as described in steps **704-708** above. Assume that the predetermined pattern used during the first selection round/iteration of step **704** is 1, 2, 0; the predetermined pattern used during the second selection round/iteration of step **704** (if performed) is 2, 0, 1; the predetermined pattern used during the third selection round/iteration of step **704** (if performed) is 0, 1, 2; the predetermined pattern used during the fourth selection round/iteration of step **704** (if performed) is 1, 2, 0 again; the predetermined pattern used during the fifth selection round/iteration of step **704** (if performed) is 2, 0, 1; the predetermined pattern used during the sixth selection round/iteration of step **704** (if performed) is 0, 1, 2. In this configuration, the sorted list **132** may be given as: PCI\_new\_vector=[112 101 111 116 114 115 117 124 119 128 138 134].

Next, an index for each sector may be determined, e.g., by the BC **104** or CU **103** implementing the sector, as described above. For example, the index (PCI\_index) may be determined as  $PCI\_index = \text{mod}(BC \text{ Sector ID}, N)$ . In the fourth example (four three-sector BCs **104**/CUs **103**) with a provisioned list **124** of length  $N=12$ , the indices for Sector ID=1:12 are: PCI\_index=[1 2 3 4 5 6 7 8 9 10 11 12].

Lastly, a PCI is selected (from the sorted list **132**) for each sector based on the respective index for the sector, e.g., as described above. In other words, each sector may be assigned a PCI (from the sorted list **132**) based on the sector's PCI\_index (1:12). The PCI for each sector can then

be assigned as: PCI\_sel (1:12)=[112 101 111 116 114 115 117 124 119 128 138 134]. Therefore, in the fourth example, the Sector ID can be thought of as an index to select a PCI from the sorted list **132**, e.g., Sector ID **1** is assigned the first PCI in the sorted list **132**; Sector ID **2** is assigned the second PCI in the sorted list **132**; Sector ID **3** is assigned the third PCI in the sorted list **132**; etc.

FIG. **8** is a block diagram illustrating a system **800** according to the fourth example of selecting PCIs in a cluster **801** of small cells **102**, each small cell **102** implementing three sectors. The system **800** is shown with four different small cells **102A-D**, each implementing three sectors (on operating carrier frequencies f1, f2, and f3, respectively). In some configurations, each of one or more of the small cells **102** is implemented using a C-RAN **102** with a BC **104** (if 4G) or a CU **103** (if 5G). The small cells **102** may be communicatively coupled to a management system **114** (via a back-haul network **116**) and/or be near one or more macro base stations **108**.

The sectors are illustrated as ovals in FIG. **8**, however, it is understood that each individual sector could take any suitable shape or size (and may overlap with other sectors). In each sector (oval) is shown (1) the operating carrier frequency of the sector (f1 or f2); (2) the Sector ID **128** of the sector (abbreviated as "S. ID"); and (3) the PCI selected for the sector.

The management system **114** may send a provisioned list **124** to the small cells **102**. In the fourth example, the provisioned list **124** may include 12 unique PCIs that do not overlap with the PCIs provisioned for surrounding macro base station(s) **108**. In other words, the management system **114** may have a separate list of PCIs for the macro base station(s) **108** in the area that does not overlap with the provisioned list **124** sent to the small cells **102** in the cluster **801**. The provisioned list **124** may be given as: P=[101 111 112 114 115 116 117 119 124 128 134 138].

A BC ID **122** is also supplied (e.g., from the management system **114**) during start-up or commissioning. The BC IDs **122** for the small cells **102** are 1, 4, 7, and 10.

Each small cell **102** may sort the received provisioned list **124** into a sorted list **132**, e.g., according to steps **704-708**. For example, the sorted list **132** may be given as: PCI\_new\_vector=[112 101 111 116 114 115 117 124 119 128 138 134]. Each small cell **102** may then determine an index for each sector it implements and determine a PCI for each sector it implements based on the index, as shown in FIG. **8**.

#### Fifth Example

In a fifth example, the cluster again includes small cells **102** implemented with C-RANs **102** in proximity to each other. The cluster is implemented four BCs **104** (and/or CUs **103**), each implementing three sectors (each of the 12 sectors is assigned one of 12 unique PCIs in the provisioned list **124**). The BC IDs **122** of the four BCs **104** (and/or CUs **103**) are 1, 4, 7, and 10.

However, the fifth example differs from the fourth example because the provisioned list (P) **124** only includes six PCIs (not 12 as in the fourth example). Therefore, in the fifth example, there are 12 sectors implemented across the cluster and only six unique PCIs to be assigned. Accordingly, the PCIs are reused across different sectors in the cluster due to the limited number of PCIs available. Assume that the provisioned list (P) **124**, received from the management system **114**, is: P=[101 111 112 114 115 116]. Before selection, the PCI values may be sorted (e.g., as described in step **704-708** above). Assume that the predetermined pattern



used during the first selection round/iteration of step 704 is 1, 2, 0; the predetermined pattern used during the second selection round/iteration of step 704 (if performed) is 2, 0, 1; the predetermined pattern used during the third selection round/iteration of step 704 (if performed) is 0, 1, 2; etc. In this configuration, the sorted list 132 may be given as: PCI\_new\_vector=[112 101 111 116 114 115].

Next, an index for each sector may be determined, e.g., by the BC 104 or CU 103 implementing the sector, as described above. For example, the index (PCI\_index) may be determined as  $PCI\_index = \text{mod}(\text{BC Sector ID}, N)$ , e.g., where a value of 0 is assigned as N instead. In the fifth example (four three-sector BCs 104/CUs 103) with a provisioned list 124 of length  $N=6$ , the indices for Sector ID=1:12 are: PCI\_index=[1 2 3 4 5 6 1 2 3 4 5 6].

Lastly, a PCI is selected (from the sorted list 132) for each sector based on the respective index for the sector, e.g., as described above. In other words, each sector may be assigned a PCI (from the sorted list 132) based on the sector's PCI\_index (1:12). The PCI for each sector can then be assigned as: PCI\_sel (1:12)=[112 101 111 116 114 115 112 101 111 116 114 115]. Therefore, in the fifth example, the mod-6 value of a Sector ID (e.g., where a mod-6 value of 0 is assigned as 6 instead) can be thought of as an index to select a PCI from the sorted list 132, e.g., Sector ID 1 is assigned the first PCI in the sorted list 132; Sector ID 2 is assigned the second PCI in the sorted list 132; . . . Sector ID 7 is assigned the first PCI in the sorted list 132; Sector ID 8 is assigned the second PCI in the sorted list 132; etc.

FIG. 9 is a flow diagram illustrating a method 900 for selecting a PCI for a sector based on the number of sectors implemented by a small cell 102. The method 900 may be performed by each small cell 102 in a cluster of small cells 102. If a particular small cell 102 is implemented using a C-RAN 102, the baseband controller 104 (in 4G) or CU 103 (in 5G) of the C-RAN 102 may be performing the method 900, e.g., using at least one processor. If a particular small cell 102 is a C-RAN 102, the C-RAN 102 would generally include a single baseband controller 104 (in 4G) or CU 103 (in 5G), although other configurations are possible.

The small cells 102 each perform the method 900 to configure their PCI without using REM. In some configurations, the method 900 may be performed while a baseband controller 104 (in 4G) or CU 103 (in 5G) in a C-RAN 102 initializes at least one sector it implements.

The blocks of the flow diagram shown in FIG. 9 have been arranged in a generally sequential manner for ease of explanation; however, it is to be understood that this arrangement is merely exemplary, and it should be recognized that the processing associated with method 900 (and the blocks shown in FIG. 9) can occur in a different order (for example, where at least some of the processing associated with the blocks is performed in parallel and/or in an event-driven manner). Also, most standard exception handling is not described for ease of explanation; however, it is to be understood that method 900 can and typically would include such exception handling.

Each of the small cells 102 in the cluster implements one or more sectors, e.g., 1, 2, 3, etc. Generally, all small cells 102 in a cluster implement the same number of sectors, though other configurations are possible. In a single-sector scenario, assume that each small cell 102 in the cluster implements one sector operating on frequency f1. When a small cell 102 implements a single sector, the BC ID 122 assigned to the small cell 102 is also the Sector ID 128 of the sector implemented by the small cell 102.

In a two-sector scenario, assume that each small cell 102 in the cluster implements two sectors operating on different frequencies: f1 and f2. When a small cell 102 implements two sectors, the first sector's Sector ID 128 is equal to the BC ID 122 assigned to the small cell 102, while the second sector's Sector ID 128 is equal to the BC ID+1.

In the three-sector scenario, assume that each small cell 102 in the cluster implements three sectors operating on frequencies f1, f2, and f3. When a small cell 102 implements three sectors, the first sector's Sector ID 128 is equal to the BC ID 122 assigned to the small cell 102, the second sector's Sector ID 128 is equal to the BC ID+1, and the third sector's Sector ID 128 is equal to the BC ID+2.

The method 900 begins at step 902 where each small cell 102, in a cluster of small cells 102, receives a provisioned (P) list 124 (of length N) from a management system 114. For example, each element in the provisioned list (P) 124 may be a PCI value, with no repeated values in the provisioned list 124. In some configurations, the management system 114 may have a separate list of PCI values for the macro base station(s) 108 in the area that does not overlap with the provisioned list 124 sent to the small cells 102 in the cluster.

The method 900 proceeds at step 904 where each small cell 102 sorts the PCI values in the provisioned list 124 into a sorted list 132 based on at least one predetermined pattern and the number of sectors implemented by each small cell in the cluster of small cells. For example, if the small cells 102 each implement one sector or two sectors with mod-3 operation, step 904 may proceed as described in step 504 (using the same predetermined pattern in every selection round). If, however, the small cells 102 each implement three sectors and/or a different mod-X operation (e.g., mod-4) is used, step 904 may proceed as described in steps 704-708 (using multiple predetermined patterns). For example, the predetermined integer may be 2, 3, 4, 5, etc.

The method 900 proceeds to step 906 where each small cell 102 selects, for each sector implemented by the small cell, a PCI value from the sorted list 132 based on a Sector ID 128 of the sector. For example, step 906 may proceed as described in step 506 or 710.

One or more predetermined patterns may be used when sorting the provisioned list 124. When a single pattern is used, the length of the pattern is equal to X (where X is the number used in the mod-X operation during sorting) but not the number of sectors implemented by each small cell 102. When multiple patterns are used, the length of the pattern is equal to num of sectors implemented by each small cell 102. Additionally, the at least one predetermined pattern used in step 904 (and the selection in step 906) may be chosen so that the mod-3 value of a PCI of a particular sector (e.g., first sector) of a small cell 102 is different from the corresponding sector (e.g., first sector) of another small cell 102 (since a mod-3 collision occurs between any two sectors operating on the same frequency with PCIs whose mod-3 remainders are the same).

The methods and techniques described here may be implemented in digital electronic circuitry, or with a programmable processor (for example, a special-purpose processor or a general-purpose processor such as a computer) firmware, software, or in combinations of them. Apparatus embodying these techniques may include appropriate input and output devices, a programmable processor, and a storage medium tangibly embodying program instructions for execution by the programmable processor. A process embodying these techniques may be performed by a programmable processor executing a program of instructions to

perform desired functions by operating on input data and generating appropriate output. The techniques may advantageously be implemented in one or more programs that are executable on a programmable system including at least one programmable processor coupled to receive data and instructions from, and to transmit data and instructions to, a data storage system, at least one input device, and at least one output device. Generally, a processor will receive instructions and data from a read-only memory and/or a random-access memory. Storage devices suitable for tangibly embodying computer program instructions and data include all forms of non-volatile memory, including by way of example semiconductor memory devices, such as EPROM, EEPROM, and flash memory devices; magnetic disks such as internal hard disks and removable disks; magneto-optical disks; and DVD disks. Any of the foregoing may be supplemented by, or incorporated in, specially designed application-specific integrated circuits (ASICs).

### Terminology

Brief definitions of terms, abbreviations, and phrases used throughout this application are given below.

The term “determining” and its variants may include calculating, extracting, generating, computing, processing, deriving, modeling, investigating, looking up (e.g., looking up in a table, a database or another data structure), ascertaining and the like. Also, “determining” may also include receiving (e.g., receiving information), accessing (e.g., accessing data in a memory) and the like. Also, “determining” may include resolving, selecting, choosing, establishing and the like.

The phrase “based on” does not mean “based only on,” unless expressly specified otherwise. In other words, the phrase “based on” describes both “based only on” and “based at least on”. Additionally, the term “and/or” means “and” or “or”. For example, “A and/or B” can mean “A”, “B”, or “A and B”. Additionally, “A, B, and/or C” can mean “A alone,” “B alone,” “C alone,” “A and B,” “A and C,” “B and C” or “A, B, and C.”

The terms “connected”, “coupled”, and “communicatively coupled” and related terms may refer to direct or indirect connections. If the specification states a component or feature “may,” “can,” “could,” or “might” be included or have a characteristic, that particular component or feature is not required to be included or have the characteristic.

The terms “responsive” or “in response to” may indicate that an action is performed completely or partially in response to another action. The term “module” refers to a functional component implemented in software, hardware, or firmware (or any combination thereof) component.

The methods disclosed herein comprise one or more steps or actions for achieving the described method. Unless a specific order of steps or actions is required for proper operation of the method that is being described, the order and/or use of specific steps and/or actions may be modified without departing from the scope of the claims.

In conclusion, the present disclosure provides novel systems, methods, and arrangements for automatic configuration of operational parameters in a small cell (or cluster of small cells) without using REM. While detailed descriptions of one or more configurations of the disclosure have been given above, various alternatives, modifications, and equivalents will be apparent to those skilled in the art without varying from the spirit of the disclosure. For example, while the configurations described above refer to particular features, functions, procedures, components, elements, and/or

structures, the scope of this disclosure also includes configurations having different combinations of features, functions, procedures, components, elements, and/or structures, and configurations that do not include all of the described features, functions, procedures, components, elements, and/or structures. Accordingly, the scope of the present disclosure is intended to embrace all such alternatives, modifications, and variations as fall within the scope of the claims, together with all equivalents thereof. Therefore, the above description should not be taken as limiting.

### Example Embodiments

Example 1 includes a small cell for automatic configuration of an operational parameter, comprising: at least one processor configured to: determine a provisioned list of operational parameters; sort the provisioned list into a sorted list; and select the operational parameter from the sorted list based on a BC ID for the small cell, a sector ID for a sector implemented by the small cell, or a combination of both.

Example 2 includes the small cell of Example 1, wherein the small cell is implemented using a cloud radio access network (C-RAN), comprising: at least one radio point (RP), each being configured to exchange radio frequency (RF) signals with at least one user equipment (UE); and a baseband controller communicatively coupled to the at least one RP via a front-haul ETHERNET network.

Example 3 includes the small cell of Example 2, wherein the at least one processor is implemented in the baseband controller.

Example 4 includes the small cell of any of Examples 1-3, wherein the small cell is implemented using a cloud radio access network (C-RAN), comprising: a plurality of remote units (RUs), each being configured to exchange radio frequency (RF) signals with at least one user equipment (UE); and a centralized unit communicatively coupled to the plurality of RUs via a front-haul ETHERNET interface, wherein the centralized unit is a Distributed Unit (DU) or a Central Unit (CU) configured to operate in a 3GPP Fifth Generation communication system.

Example 5 includes the small cell of Example 4, wherein the at least one processor is implemented in the centralized unit.

Example 6 includes the small cell of any of Examples 1-5, wherein the at least one processor is further configured to periodically update the operational parameter.

Example 7 includes the small cell of any of Examples 1-6, wherein the at least one processor is further configured to determine whether radio environment monitoring (REM) is enabled in the small cell.

Example 8 includes the small cell of Example 7, wherein the at least one processor is further configured to sort the provisioned list into the sorted list only in response to determining that REM is not enabled in the small cell.

Example 9 includes the small cell of any of Examples 1-8, wherein the at least one processor is configured to determine the sector ID based on the BC ID assigned to the small cell and received from a management system; wherein the at least one processor selects the operational parameter at an index in the sorted list equal to the sector ID.

Example 10 includes the small cell of any of Examples 1-9, wherein the operational parameters are Physical Cell Identifier (PCI) values; and wherein the sorting is based on a remainder of each element in the provisioned list when divided by a predetermined integer.

Example 11 includes the small cell of any of Examples 1-10, wherein the operational parameters are transmission

opportunities for a Sounding Reference Signal (SRS); and wherein the BC ID is used as an offset value so that a selected transmission opportunity for the small cell does not overlap in time or frequency with a transmission opportunity for a neighboring small cell.

Example 12 includes the small cell of any of Examples 1-11, wherein the sorting is based on a type of operational parameter included in the provisioned list.

Example 13 includes a method for automatic configuration of an operational parameter in a small cell, the method comprising: determining a provisioned list of operational parameters; sorting the provisioned list into a sorted list; and selecting the operational parameter from the sorted list based on a BC ID for the small cell, a sector ID for a sector implemented by the small cell, or a combination of both.

Example 14 includes the method of Example 13, wherein the small cell is implemented using a cloud radio access network (C-RAN), comprising: at least one radio point (RP), each being configured to exchange radio frequency (RF) signals with at least one user equipment (UE); and a baseband controller communicatively coupled to the at least one RP via a front-haul ETHERNET network.

Example 15 includes the method of any of Example 14, wherein the method is implemented in the baseband controller.

Example 16 includes the method of any of Examples 13-15, wherein the small cell is implemented using a cloud radio access network (C-RAN), comprising: a plurality of remote units (RUs), each being configured to exchange radio frequency (RF) signals with at least one user equipment (UE); and a centralized unit communicatively coupled to the plurality of RUs via a front-haul ETHERNET interface, wherein the centralized unit is a Distributed Unit (DU) or a Central Unit (CU) configured to operate in a 3GPP Fifth Generation communication system.

Example 17 includes the method of Example 16, wherein the method is implemented in the centralized unit.

Example 18 includes the method of any of Examples 13-17, further comprising periodically updating the operational parameter.

Example 19 includes the method of any of Examples 13-18, further comprising determining whether radio environment monitoring (REM) is enabled in the small cell.

Example 20 includes the method of Example 19, further comprising sorting the provisioned list into the sorted list only in response to determining that REM is not enabled in the small cell.

Example 21 includes the method of any of Examples 13-20, further comprising determining the sector ID based on the BC ID assigned to the small cell and received from a management system; wherein the operational parameter is selected at an index in the sorted list equal to the sector ID.

Example 22 includes the method of any of Examples 13-21, wherein the operational parameters are Physical Cell Identifier (PCI) values; and wherein the sorting is based on a remainder of each element in the provisioned list when divided by a predetermined integer.

Example 23 includes the method of any of Examples 13-22, wherein the operational parameters are transmission opportunities for a Sounding Reference Signal (SRS); and wherein the BC ID is used as an offset value so that a selected transmission opportunity for the small cell does not overlap in time or frequency with a transmission opportunity for a neighboring small cell.

Example 24 includes the method of any of Examples 13-23, wherein the sorting is based on a type of operational parameter included in the provisioned list.

The invention claimed is:

1. A small cell for automatic configuration of an operational parameter, comprising:

at least one processor configured to:

determine a provisioned list of operational parameters of a type;

sort the provisioned list into a sorted list; and

select the operational parameter from the sorted list based on a baseband controller (BC) ID for the small cell, a sector ID for a sector implemented by the small cell, or a combination of both.

2. The small cell of claim 1, wherein the small cell is implemented using a cloud radio access network (C-RAN), comprising:

at least one radio point (RP), each being configured to exchange radio frequency (RF) signals with at least one user equipment (UE); and

a baseband controller communicatively coupled to the at least one RP via a front-haul ETHERNET network.

3. The small cell of claim 2, wherein the at least one processor is implemented in the baseband controller.

4. The small cell of claim 1, wherein the small cell is implemented using a cloud radio access network (C-RAN), comprising:

a plurality of remote units (RUs), each being configured to exchange radio frequency (RF) signals with at least one user equipment (UE); and

a centralized unit communicatively coupled to the plurality of RUs via a front-haul ETHERNET interface, wherein the centralized unit is a Distributed Unit (DU) or a Central Unit (CU) configured to operate in a 3GPP Fifth Generation communication system.

5. The small cell of claim 4, wherein the at least one processor is implemented in the centralized unit.

6. The small cell of claim 1, wherein the at least one processor is further configured to periodically update the operational parameter.

7. The small cell of claim 1, wherein the at least one processor is further configured to determine whether radio environment monitoring (REM) is enabled in the small cell.

8. The small cell of claim 7, wherein the at least one processor is further configured to sort the provisioned list into the sorted list only in response to determining that REM is not enabled in the small cell.

9. The small cell of claim 1, wherein the at least one processor is configured to determine the sector ID based on the BC ID assigned to the small cell and received from a management system;

wherein the at least one processor selects the operational parameter at an index in the sorted list equal to the sector ID.

10. The small cell of claim 1, wherein the operational parameters are Physical Cell Identifier (PCI) values; and wherein the sorting is based on a remainder of each element in the provisioned list when divided by a predetermined integer.

11. The small cell of claim 1, wherein the operational parameters are transmission opportunities for a Sounding Reference Signal (SRS); and

wherein the BC ID is used as an offset value so that a selected transmission opportunity for the small cell does not overlap in time or frequency with a transmission opportunity for a neighboring small cell.

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12. The small cell of claim 1, wherein the sorting is based on the type of operational parameter included in the provisioned list.

13. A method for automatic configuration of an operational parameter in a small cell, the method comprising:

determining a provisioned list of operational parameters of a type;

sorting the provisioned list into a sorted list; and

selecting the operational parameter from the sorted list based on a baseband controller (BC) ID for the small cell, a sector ID for a sector implemented by the small cell, or a combination of both.

14. The method of claim 13, wherein the small cell is implemented using a cloud radio access network (C-RAN), comprising:

at least one radio point (RP), each being configured to exchange radio frequency (RF) signals with at least one user equipment (UE); and

a baseband controller communicatively coupled to the at least one RP via a front-haul ETHERNET network.

15. The method of claim 14, wherein the method is implemented in the baseband controller.

16. The method of claim 13, wherein the small cell is implemented using a cloud radio access network (C-RAN), comprising:

a plurality of remote units (RUs), each being configured to exchange radio frequency (RF) signals with at least one user equipment (UE); and

a centralized unit communicatively coupled to the plurality of RUs via a front-haul ETHERNET interface, wherein the centralized unit is a Distributed Unit (DU) or a Central Unit (CU) configured to operate in a 3GPP Fifth Generation communication system.

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17. The method of claim 16, wherein the method is implemented in the centralized unit.

18. The method of claim 13, further comprising periodically updating the operational parameter.

19. The method of claim 13, further comprising determining whether radio environment monitoring (REM) is enabled in the small cell.

20. The method of claim 19, further comprising sorting the provisioned list into the sorted list only in response to determining that REM is not enabled in the small cell.

21. The method of claim 13, further comprising determining the sector ID based on the BC ID assigned to the small cell and received from a management system;

wherein the operational parameter is selected at an index in the sorted list equal to the sector ID.

22. The method of claim 13, wherein the operational parameters are Physical Cell Identifier (PCI) values; and

wherein the sorting is based on a remainder of each element in the provisioned list when divided by a predetermined integer.

23. The method of claim 13, wherein the operational parameters are transmission opportunities for a Sounding Reference Signal (SRS); and

wherein the BC ID is used as an offset value so that a selected transmission opportunity for the small cell does not overlap in time or frequency with a transmission opportunity for a neighboring small cell.

24. The method of claim 13, wherein the sorting is based on the type of operational parameter included in the provisioned list.

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